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ABSTRACT

This Planning, Management, and Evaluation (PME) guide was developed by the National Alliance of Business as part of its program of management assistance for Private Industry Councils (PICs). The guide is a tool which PICs can use to improve their capability to plan, manage, and evaluate the programs which they administer, and to establish locally defined business-oriented performance standards for TITLE VII programs. The guide contains five major sections. Section 1 discusses PIC PME in general and provides a self-assessment checklist which can be used to evaluate the present status of the PIC's PME approach, while section 2 provides a general orientation and introduction to the PME process. In section 3, the specific phases and steps in the process are detailed, and information and techniques which can be employed in applying the steps are explained. Sections 4 and 5 contain aids and records to be used in implementing and documenting the PME process in PICs. In addition, a glossary contains the definitions of concepts and terms which are central to the PME process, and an appendix cites additional material which can be referred to in order to facilitate the development and refinement of the PIC's PME system. (This guide and the planning, management, and evaluation process which it presents are being field tested this fiscal year with ten PICs. Based upon that field test, the process and the guide will be revised, refined, and then packaged in final form for national dissemination.) (KC)

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# PRIVATE INDUSTRY COUNCIL
# GUIDE

## PLANNING, MANAGEMENT AND EVALUATION:
## REALIZING PIC POTENTIAL

WORKING DRAFT
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# NATIONAL ALLIANCE OF BUSINESS
# PME GUIDE INSTRUCTIONS
# FOR INSERTING THE TEXT INTO BINDER

The text of the draft Guide and a hard cover binder for housing it are enclosed. To insert the text into the binder, please follow the instructions below.

1. Insert in the front pocket of the binder one copy of the brochure entitled "An Introduction to Planning, Management and Evaluation: Realizing PIC Potential".
2. Insert the title page through page iii in front of the first tab entitled, "Introduction".
3. Each major section and substage of the Guide should be inserted behind the colored tabs. Dark orange tabs indicate Guide sections, light orange tabs are used to separate stages (A-H) of Section III.
4. To assemble the binder, insert the following pages behind the tabs as specified below:

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# FOREWORD

This Planning, Management and Evaluation (PME) Guide has been developed by the National Alliance of Business as part of its program of management assistance for Private Industry Councils. The Guide is intended to be a tool which a PIC can use to

- improve its capability to plan, manage, and evaluate the programs which it administers
- establish locally defined business-oriented performance standards for Title VII programs.

The Guide and the planning, management and evaluation process which it presents are being field tested in this fiscal year with ten PICs:

- The Boston Private Industry Council, Inc.
- The Industry Council of Greater Cincinnati, Inc.
- The Missouri Balance of State Private Industry Council
- The Private Industry Council of Atlanta, Inc.
- The Broward Private Industry Council (Fla.)
- The Private Industry Council of the Lehigh Valley (Pa.)
- The Buffalo and Erie Private Industry Council
- The Private Industry Council, Jobs for Fall River (Mass.)
- The New York Balance of State Private Industry Council, Inc.
- The Delaware Private Industry Council

Based upon that field test, the process and the Guide will be revised, refined, and then packaged in final form for national dissemination.

The Guide can also be useful to Prime Sponsors as they administer programs under other titles of the Comprehensive Employment and Training Act (CETA). It has been directed to PICs and PSIP because PICs have been assigned a unique role to involve business in public employment and training programs.

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In so doing they must

- chart their own special course and that of business in the community
- involve the business community so that it can take an active part in local programs, not only by serving on the PIC but, also by providing other resources to complement those publicly provided
- embark on many new activities, often difficult to measure, which should be undertaken with care to assure that their purpose is clear and their results can be assessed
- identify ways to assist all publicly-funded employment and training programs to provide opportunities in the private sector.

To assume these responsibilities, the PIC needs to understand thoroughly what the Prime Sponsor and others have accomplished and are trying to do, and what business needs and what it can do to help. The PIC must then be able to determine if the steps it took to meet these needs were successful. With such responsibilities, NAB is convinced that PICs must have an adequate PME process.

Finally, NAB believes that the private sector can be particularly helpful to PICs and Prime Sponsors in establishing PME systems. Therefore, NAB has directed this initial effort to PSIP where business is generally most involved, but hopes that Prime Sponsors will also find it useful for other programs.

The Guide is being distributed now in working draft form so that all the PICs across the country can use it as an aid and reference to facilitate their planning and system development efforts for Fiscal Year 1982.

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# INTRODUCTION

The following are principal assumptions underlying the development of this Guide:

- PICs have had to devote a majority of their time and energy to getting themselves organized, establishing their administrative structure and designing and implementing their initial programs. As a consequence, few PICs have had the time to initiate comprehensive and systematic planning, management, and evaluation (PME) efforts.

- The planning, management, and evaluation which has taken place is that required under the law. Plans and reports have primarily been externally-oriented documents prepared in order to secure funds and account for program activities and expenditures.

- There is a wealth of information regarding PME systems as they relate to employment and training programs. However, much of this information is written or formated in such a manner that it has been either inaccessible to the "average" reader, or difficult to translate into specific terms for application within the local setting. This has seriously restricted the utilization of more rigorous or sophisticated PME approaches for ensuring effective and accountable program operations.

- Many of the individuals who have PME responsibilities within a PIC will have had little or no prior experience in implementing PME systems.

This Guide addresses all of the foregoing assumptions. It is written as a primer. It assumes little pre-existing knowledge of PME on the part of the reader. The Guide attempts to detail, in a complete and clear manner, all the basic steps to be taken, questions to be answered, and information to be considered in implementing a planning, management and evaluation system within a Private Industry Council.

The Guide does not spell out in detail or espouse one specific PME system. Rather, it provides a logical framework and thinking process which any PIC can use to design an internally-oriented PME system which is most appropriate and effective given its own situation and needs.

The Guide is intended for PICs regardless of size or structure. Each should apply the process to the extent its resources allow.

# WHO SHOULD USE THIS GUIDE

This Guide is intended for all PICs regardless of their organizational nature or present developmental status. The Guide has been designed so that it can be used by any PIC to review, enhance, or establish its approach to planning, management, and evaluation.

The Guide is directed primarily at those staff who will have the major responsibilities for designing and implementing a PME process within a PIC. However, it should also prove of value to Council members in gaining an understanding of PME as it relates to the PIC, and in making decisions regarding their roles, responsibilities, and involvement in their PIC's PME process. Sections I and II of the Guide should be especially useful in this regard.

Finally, hopefully, the Guide will be of benefit to anyone who works on improving a PIC's planning, management and evaluation process.

# HOW TO USE THIS GUIDE

This *Guide* has been developed so that it can be used independently, or with assistance, to implement a systematic approach to planning, management, and evaluation. The *Guide* consists of five major sections, a Glossary and an Appendix.

- Section I of the *Guide* discusses PIC PME in general and provides a self-assessment checklist which can be used to evaluate the present status of the PIC's PME approach
- Section II provides a general orientation and introduction to the PME process
- Section III details the specific phases and steps in the process and furnishes information and techniques which can be employed in applying the steps in the process
- Section IV contains various aides which can be used in establishing the PME system within a PIC
- Section V has been set aside to house important documents related to the PIC's PME system
- The Glossary of Terms contains the definitions of those concepts and terms which are central to the PME process
- The Appendix cites additional material which can be referred to in order to facilitate the development and refinement of the PIC's PME system.

If your needs are to establish or substantially modify your PIC's present PME process, it is recommended that you carefully read Sections I-III in order answering all questions and reviewing all information. This should provide the knowledge and experience base necessary to employ the aids presented in Section IV, or suitable alternatives, in the process of designing your PIC's PME approach.

If, on the other hand, you are satisfied with your present process, then two optional uses are suggested:

1. Use the self-assessment test presented on pp. I-8, 9 to decide which areas to read in the Guide and where to concentrate your improvement efforts.
2. Read those sections of the Guide which are of interest to you now, and refer to the Guide on an as-needed basis when problems occur or questions arise while implementing your PIC's standard PME process.

# I. PRIVATE INDUSTRY COUNCIL PLANNING, MANAGEMENT AND EVALUATION

The major intent of the Private Sector Initiative Program (PSIP), Title VII of the Comprehensive Employment and Training Act (CETA) is:

- to increase the involvement of the business community in employment and training activities
- to increase private sector employment and training opportunities for CETA-eligible participants.

Your Private Industry Council (PIC) has been designated as the "primary vehicle," at the local level, working in conjunction with your CETA Prime Sponsor, for achieving that intent.

Specifically, it is expected that your PIC will take a leadership role in:

- shaping, directing, and coordinating PSIP
- assessing the needs of local industries and employers
- developing innovative employment and training activities and services
- designing those activities to meet the specific needs of the local business community
- improving existing programs and methods for the delivery of employment and training services
- reviewing critically the employment and training plans of the CETA Prime Sponsor and others to ensure that they are responsive to business and community needs
- bringing private resources to bear on employment and training issues

- reshaping, as necessary, the local system or network for the delivery of employment and training services
- forging new linkages with government agencies (e.g., vocational education, housing, public welfare) and the private sectors to contribute to local economic development.

These expectations present an imposing challenge. Establishing an effective planning, management and evaluation (PME) process is a fundamental step that your PIC can take to enable you to meet that challenge.

## Purposes of a PME Process

A PME process can be used to help your PIC:

- develop high quality and effective programs
- manage the performance of your PSIP
- comply with federal regulations.

## PME for Program Development

One of the overriding reasons for the existence of the PSIP is to encourage programmatic experimentation and to promote changes within the existing system for the delivery of employment and training services. In recognition of this fact, your PIC has been given enormous latitude and discretion to forge a program of service and activities which is best suited to local needs and which has a high chance of success.

To develop such a program, your PIC has to have a way to:

- identify what business and community needs are
- pinpoint existing problem areas or barriers
- decide what needs to be done
- ascertain which existing projects work and which don't
- establish a comprehensive approach to program development
- create new projects to meet presently unfilled needs

- secure feedback on those programs which are initiated.

A well-designed PME process can serve these ends.

## PME for Performance Management

A PME process also provides the basis for directing and controlling the program which your PIC decides to implement. You can use a PME process to :

- set overall goals and operational strategies
- establish program performance standards
- define management and monitoring methods
- determine corrective action procedures
- ensure accountability in program delivery
- obtain evaluation data which can be used to improve program performance.

## PME for Compliance

Finally, your PIC can use a PME process to ensure satisfactory compliance with federal regulations. The CETA regulations require that a Prime Sponsor submit an Annual Plan which describes all of the programs it will undertake in the upcoming fiscal year. The Title VII subpart of this plan must detail the activities that will be sponsored through your PIC.

The regulations stipulate that the subpart must consist of a Narrative Description, Statement of Concurrence, Program Planning Summary, and Budget Information Summary. The contents of these items are described briefly below:

Narrative Description includes:

- goals and objectives for Title VII program
- analysis of assistance needs within community
- target groups for service through Title VII
- activities to be undertaken to achieve objectives
- system to be used to review and assess the success of the activities
- results and benefits to be obtained through program (quantitative and qualitative outcomes expected)
- PIC responsibilities and procedures.

Statement of Concurrence: documents the concurrence of the PIC and the Prime Sponsor with the content of the Annual Plan subpart.

Program Plan Summary (PPS): presents the goals, objectives, and activities planned for the program year.

Budget Information Summary (BIS): sets out the planned budget for the program year.

Obviously, being able to prepare a plan of the type required by regulation necessitates that your PIC have a workable PME process in place.

## CRITICAL PME DECISIONS

There are three fundamental decisions which will have a substantial and significant impact on the shape of your PME process and the manner in which your PIC's program is directed and operated generally. These decisions are:

- What perspective or approach does your PIC want to bring to its involvement with the employment and training system?
- What relationship will your PIC have with the CETA Prime Sponsor?
- At what points will your Council be involved in your PIC's planning, management and evaluation process?

### PIC Perspective and Approach

The CETA regulations establish only broad parameters and minimal expectations regarding a PIC in terms of its existence and operation. Within that context, it is up to each PIC to define a mission and orientation which is appropriate to local circumstances and needs. Therefore, the principal decision which your PIC must make is how it can best be involved and what general approach it wants to take to working within the local employment and training system. That involvement can vary along a continuum from being purely advisory at one end to being an operator of employment and training programs at the other.

Factors and characteristics which should be taken into account in determining the type and extent of your PIC's involvement include:

- limitations imposed by the amount of available resources
- the "perceived" status and capabilities of the local CETA system

- local economic conditions
- present strength and productiveness of private sector ties
- local political conditions

Regardless of the specific perspective and approach which your PIC selects, a basic responsibility of the PIC is to ensure that the private sector's interests are represented through the PIC, and that the PIC supports programs which benefit both the CETA-eligible participants and the business community.

CETA-PIC Relationships

In order to maximize PIC effectiveness, the CETA regulations require linkages and relationships between the PIC and the Prime Sponsor. The regulations anticipate a "partnership" between these two bodies in addressing local employment and training problems. However, as with the mission and roles of the PIC itself, the nature of those linkages and that partnership is not mandated but left to local discretion. As a result, another essential decision for your PIC is to determine what operational arrangements to make and how best to work with the Prime Sponsor.

Structural options range from being an integral part of the prime sponsorship with shared staff and facilities to being a separate entity with semi-autonomous status. Your PIC should decide which arrangement is best, given local needs. The important thing to ensure, regardless of the specific methods chosen, is that your PIC have cooperative working relationships with the Prime Sponsor.

These relationships are especially important when it comes to designing and implementing an effective PME process. The Prime Sponsor represents an invaluable source of experience, information, and assistance which your PIC can draw upon both to take those steps necessary to create a process which is utilitarian, and to apply that process in such a manner as to produce the results desired by your PIC.

Council Involvement Points

The last major decision which your PIC needs to make is to determine at what points the Council will be involved or will intervene in the planning, management and evaluation process. You need to determine how and in what way the Council wants to influence programming and operations and then to establish a mechanism and process for ensuring that influence on a continuous basis. To do this, the Council needs to:

- formally define and articulate its role as planner, manager, and evaluator
- organize and develop the capability to fulfill that role
- establish action steps and an agenda for ensuring the accomplishment of that role.

As with the decisions on PIC perspective and approach and CETA-PIC relations, what your PIC decides to do and how to do it should be based upon local needs. As a rule, however, your Council should attempt to involve itself to the maximum feasible extent in order to have the greatest influence and control over plans, the design of programs, and their operation. Key points of involvement or intervention include:

- defining the PIC's basic mission and functions
- establishing PIC operational methods and procedures
- identifying the needs of the local business community
- identifying and selecting occupations for training programs

- determining which target groups to serve
- deciding what services or assistance to provide to those target groups
- determining what other services or special projects can be initiated to generate employment opportunities within the local community
- establishing priorities for services and activities to be provided through the PIC
- setting strategic and operational goals for the PIC
- assessing and selecting service deliverers
- approving the plans for operating, managing, and evaluating the PIC's program
- monitoring and reviewing program and contractor performance at regular intervals to assess effectiveness
- planning and approving modifications to the basic program approach as necessary
- evaluating program performance at the end of the operational year to make replanning decisions.

## YOUR PIC'S PME PROCESS

As the foregoing discussion attests, your PIC's PME process is central to program effectiveness and success, and ultimately to the achievement of the intent of the Private Sector Initiative Program. Therefore, at this point, prior to reading the next section of this Guide which describes a comprehensive and systematic approach to PME, it might be worthwhile to assess your PIC's present PME process. Use the scale below to indicate your rating of your PIC's overall process for PME.

| 6 | 5 | 4 | 3 | 2 | 1 |
|---|---|---|---|---|---|
| Excellent | Very Good | Good | Fair | Not Very Good | Poor |

Reflecting upon your rating, list below those areas in which you think your present process is most in need of improvement and describe the nature of the improvement(s) that you feel are needed.

- Planning - method for determining local employment and training needs and for deciding what services and projects to initiate in response to those needs
- Management - method for monitoring and controlling program performance and taking corrective actions as necessary to ensure program success.
- Evaluation - method for reviewing and assessing program and contractor effectiveness at conclusion of performance period to make informed replanning decisions.

| Area(s) | Improvement(s) Needed |
|---|---|

Use your rating and analysis to focus your reading of Section II which follows.

## II. THE PLANNING, MANAGEMENT AND EVALUATION PROCESS

The Planning, Management and Evaluation (PME) process is a systematic method which your Private Industry Council (PIC) can employ to establish and implement its Private Sector Initiative Program. The process is designed to help you ask those questions and take those steps most essential for effective PIC decision-making and program operations.

### A Decision-Making Tool

Your PIC can use the PME process in deciding:

- What local needs are - the nature and dimension of employment and training needs within your community.
- What your PIC wants to accomplish - its purpose, roles, and goals.
- What to do - the specific objectives to be achieved and projects and activities to be sponsored through your PIC.
- How to do it - the methods to be employed in implementing each project and your PIC's total program.
- How to support it - the relative amount of resources (time, people, money) to be dedicated to each area of activity.
- How to control it - your system for monitoring progress and performance and taking corrective action as necessary.
- How to assess it - your mechanism for evaluating results and program accomplishments.
- How to manage it - the procedures for feeding information back into the PIC for replanning purposes.

## A Procedural Guide

The PME process is structured to allow your PIC to make the following decisions in a logical order. The major stages in the PME process are:

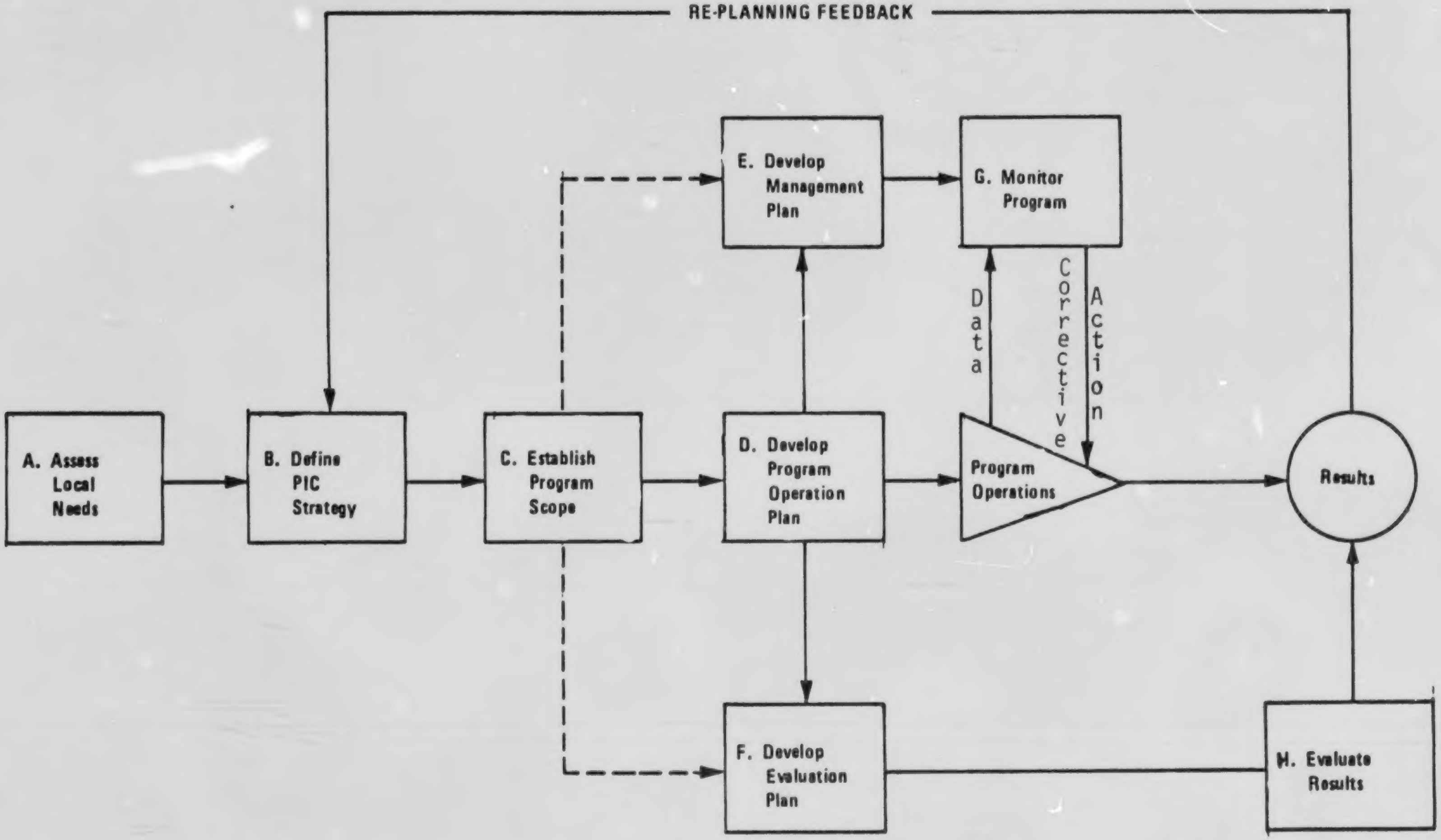
A. Assess Local Needs
B. Define PIC Strategy
C. Establish PIC Program Scope
D. Develop Program Operations Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
H. Evaluate Results

## A Management Process

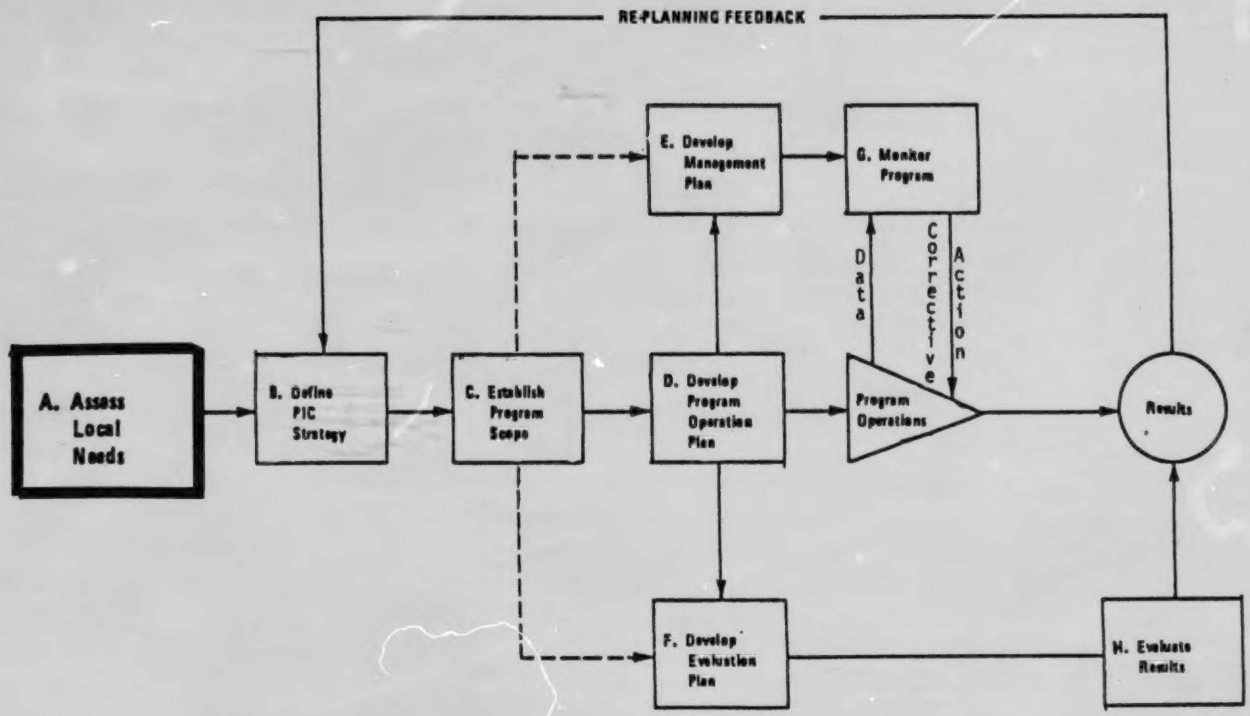
The flow of the PME process is shown in the chart on the following page.

The remainder of this section discusses what your PIC does in each stage of the PME process (the steps to be taken and questions to be answered). Section III details how to apply the PME process within your PIC.

## PIC PME PROCESS – FLOW CHART


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

## A. ASSESS LOCAL NEEDS


RE-PLANNING FEEDBACK
A. Assess Local Needs
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C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Program Operations
Data
Corrective Action
Results
H. Evaluate Results

**Purpose:** To determine the current employment and training needs within your community.

**Steps:**

1. Analyze Local Labor Market Conditions and Business Needs
2. Analyze Local Population Groups and Service Needs
3. Review Programs and Plans of Other Agencies/Service Deliverers/Businesses

**Outcomes:**

Accurate and comprehensive assessment of local
- economic trends
- employment needs
- business needs
- training needs
- problem areas
- employment and training programs and plans

Use: The information obtained through your local needs assessment is used as primary reference data in designing your PIC's program so that it is realistic, addresses those local needs which are most pressing, and complements the ongoing or planned activities of others.

## 1. Analyze Local Labor Market Conditions And Business Needs

The overriding reasons for doing labor market analysis are to (1) identify potential job opportunities within the local community which are appropriate for CETA participants; and (2) pinpoint the specific needs of local businesses and industries so that your PIC can develop a plan based upon these factors.

As a representative of the business community, your PIC is uniquely equipped to provide and/or review employer-defined labor market data for use by the PIC and others in decision-making. Data gained through the labor market analysis can be used for a variety of purposes, including:

- selecting target jobs for training programs
- designing customized training programs to satisfy employer defined criteria
- identifying obstacles and barriers which inhibit the effectiveness of employment and training programs so that these impediments can be eliminated
- determining services (e.g., employment development, world of work orientation, recruitment) which can be provided through the PIC to meet local employer needs.

The importance of labor market analysis cannot be over estimated. Although you will hear that businesses sometimes do not share information on their labor market expectations or do not do adequate forecasting, this should not deter you from making every effort to collect complete information. As your programs increasingly meet business needs, you may well find that businesses will make greater efforts to provide you more complete information.

You can take one of two approaches to labor market analysis. You can rely solely on existing data sources (i.e., that furnished by the CETA Prime Sponsor, the Labor Market Information Division of your State Employment Security Agency (SESA), other governmental agencies, and universities). Or, you can complement the available data with a local employer survey of your own.

Existing data sources will probably be sufficient to help you determine general trends and answer many basic questions regarding local:

- labor force participation
- growth potential by industry and occupation
- salary range and quality of occupations
- skill requirements necessary for job success in various occupations.

Specially-developed local employer surveys enable you to determine a number of additional aspects of the local labor market, including the:

- nature and structure of the internal labor market (job composition and entry level occupations) of local firms
- number and occupational characteristics of existing job vacancies in local labor markets
- hiring practices and policies of local firms
- hourly and/or weekly wages and annual earnings of workers in specific occupations
- training and promotional policies of local firms
- employer attitudes toward existing employment and training programs funded by the local CETA Prime Sponsor and other local employment and training agencies.

Your choice of how to do labor market analysis will be determined by:

- the adequacy and accuracy of the data available to you
- the purpose you want to achieve with your analysis
- the decisions you want to be able to make.

However, since local employer surveys are easily dated, expensive, time consuming, and require considerable knowledge and expertise for their proper implementation, you should take the following steps before initiating one:

- Define the information need. What data are needed? How will they be used in the planning process? Will additional data help you to make better decisions?

- Utilize existing resources. See if you can get the additional data you need from traditional sources (e.g., the Prime Sponsor, the State Employment Security Agency (SESA), and State Occupational Information Coordinating Committee (SOICC).

- Assess the survey. Make a careful assessment of the costs of the survey, correct survey procedures, reliability of data to be gathered, and possible alternatives to the survey.

- Make the decision. Reevaluate your total information requirements to see if they can be reduced, whether alternative data can be used, and whether certain data needs can be dropped without adverse impact on the planning process.

- Coordinate with your Prime Sponsor, SESA, and SOICC. Once you decide to do a formal employer survey, contact your SESA and SOICC to take advantage of any related activity and to secure their assistance in your project.

In conclusion, labor market analysis is the cornerstone for an effective PIC program. The more you can do to ensure that your analysis is accurate and meets your decision-making needs, the more probable it is that you will design a program capable of success. In addition, by sharing the results of your data gathering and analysis efforts with the Prime Sponsor you can help to improve the Sponsor's capabilities in this area.

### 2. Analyze Local Population Groups and Service Needs

The purpose of this step is to identify those population groups within your community who are in need of employment and training services and to document the relative extent of their need. Just as important, the step involves pinpointing, as precisely as possible, the exact impediments and obstacles to job success and unsubsidized employment among these groups. You should use data contained in the Master Plan portion of the Prime Sponsor's Comprehensive Employment and Training Plan to secure the information for this analysis.

Fundamental questions that you want to be able to answer in this step are:

- What is the general level of employment and training need within the local community?
- What are the needs by population group (sex, age, race/ethnic group; sub-groups such as Vietnam Vets, public assistance recipients, alcoholics)?
- Are some groups more in need than others?
- What apparently accounts for the needs within each group?

The answers to these questions will later help your PIC determine who it wants to serve (what categories of individuals or groups), and what types of services it wants to provide.

### 3. Review Programs and Plans of Other Agencies/Service Deliverers/Businesses

In this step, your PIC identifies all those employment and training service deliverers within the local community and then reviews their past performance and future plans for service. The purpose of this step is to pinpoint:

- gaps in the local service delivery system
- possible areas for collaboration with other service deliverers
- areas in which your PIC may choose to initiate new services or projects.

Programs and plans which you should review, at a minimum, include those of:

- the CETA Prime Sponsor
- Employment Service
- educational/vocational courses run by local high schools, community colleges, or proprietary institutions
- economic development and other employment and training initiatives sponsored through the federal government; by the local government; or by private companies or corporations
- employment and training efforts undertaken by private sector firms and business organizations.

In reviewing the plans of others, you should be looking for:

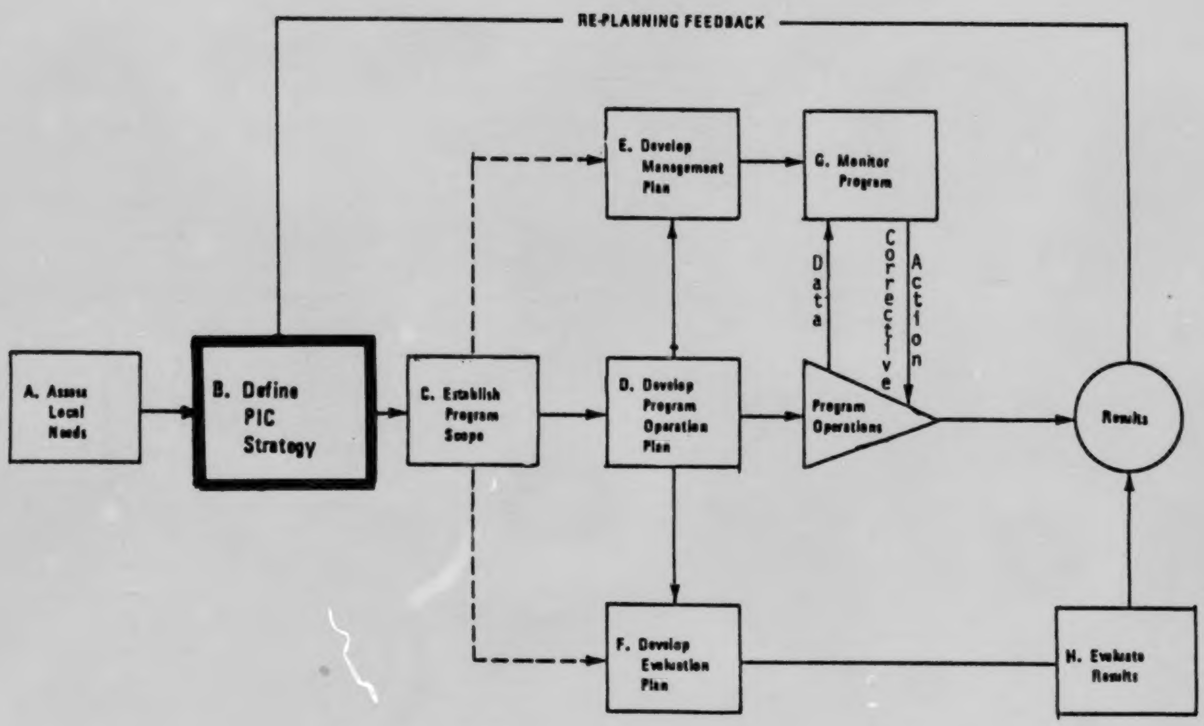
- timely data on target groups and local target group needs
- projects which have a high success rate
- potential service deliverers who provide services efficiently and effectively.

Based upon your PIC's review of others' plans, you can then structure your PIC's program to complement other efforts being undertaken at the local level. Possible courses of action include:

- directing PIC programs toward target groups and potential job opportunities not being addressed through other programs
- "piggy backing" by using PIC funds to support programs which have a record of demonstrated success
- cooperating or linking up with other agencies to "joint venture" a project

- selecting successful basic program designs and modifying them as appropriate for implementation through the PIC
- identifying employment and training service areas in which there are gaps and developing special programs to fill those gaps
- cooperating with businesses to use facilities and/or staff to provide training.

## B. DEFINE PIC STRATEGY


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

Purpose: To develop, using the data secured in the needs assessment and an analysis of the PIC's programmatic, organizational and administrative performance over the preceding year, a strategic plan which includes goals for the upcoming year and those goals to be accomplished in the longer term.

Steps:

1. Assess PIC Program Performance
2. Assess PIC Organizational and Operational Performance
3. Establish Initial Needs Priorities
    a. Define Service Needs (training and development and employment generating)
    b. Select Target Groups
    c. Determine Occupational Training Priorities
4. Redefine PIC Mission and Function
5. Refine Basic Organizational and Operational Framework
6. Formulate Goals and Strategic Plan

**Outcome:** A written statement which clearly articulates your PIC's

- purpose
- role definition
- functions
- organizational and administrative structure and operational procedures
- annual goals and their priorities
- long-term goals
- resource allocation

**Use:** The strategic plan establishes the general program direction and emphases for your PIC and furnishes the overall parameters used to oversee and operate your program.

### 1. Assess PIC Program Performance

This step is taken to determine how well your PIC performed programmatically (i.e., in terms of project or service activities).

In reviewing program performance, you should look at your PIC at three levels--overall, by component, and by service deliverer or contractor--and answer four basic questions:

- How well did your PIC perform in the aggregate - quantitatively (i.e., in terms of the numbers related to participants, costs, resource utilization)?
- How well was your total program implemented qualitatively (i.e., according to standards set out in your plan)?
- How well did each component (e.g., classroom training, OJT, marketing, labor market analysis, economic development) perform?
- What was the relative effectiveness or performance of the service deliverers or contracters that you used?

At a minimum, you will want to answer these questions by comparing the actual performance of your program against that which was planned. Much of the aggregated quantitative data for performance vs. plan review can be retrieved easily from three reports--Program Status Summary, Summary of Participant Characteristics, and Financial Status Summary--which the Prime Sponsor must prepare quarterly and annually for the Department of Labor. Data for the more qualitative assessment and the review of components and service deliverers or contractors should be secured from your PIC's own monitoring and reporting system.

In addition, as time and funds permit, and your PIC's decision-making needs dictate, you might want to make a more in-depth assessment of your program's effect by looking at areas such as economic impact, institutional impact, attitudinal impact, patterns of service, and cost-benefits. Some questions your PIC might ask in these areas follow.

## Economic Impacts on Participants

- What do various measures of placements and terminations show?
- What do various measures of wage gains show?
- What can be said about the quality of jobs developed?
- What can be said about the retention of participants in the jobs they obtain?
- What can be said about advancement of participants from their first job to better jobs?

## Institutional Impact of Title VII

- Has the PIC stimulated new business participation in local employment and training efforts?
- Has the PIC stimulated new responsiveness on the part of "traditional" employment and training deliverers to the needs of business?
- Is there a comprehensive planning approach between different prime sponsorship areas and other PICs?
- Has the PIC forged new linkages with local public or private sector economic development agencies which have helped to retain or expand local businesses, thus creating jobs for CETA eligible participants?

## Attitudinal Impact of Title VII

- How has the PIC program affected the attitudes of employers toward the program, toward employment and training programs in general, and toward eligible clients as potential employees?
- What impact has the PIC program had on the attitudes and motivations of participants?

## Patterns of Service

- What are the characteristics of the participants being served? How do they compare to regular CETA clients, goals, and some statement of "universe of need"?
- What are the characteristics of the businesses being served? Where do they stand in the overall economic structure of the area?

## Cost

- What reasonable cost-benefit calculations can be made about some of the above impacts?

Regardless of the areas you look at and the questions you choose to ask, your programmatic assessment should enable you to draw conclusions which can be used in making determinations such as:

- Were your initial planning assumptions valid?
- Were your initial goals and objectives realistic?
- Were your program and projects well designed?
- Was your overall programmatic thrust, or mix of services and projects sound?
- Had you anticipated the barriers which you encountered?
- Are there any components to your program which should be dropped? Given increased support?
- Are there any service deliverers who are ineffective? Highly effective?

Obviously, the exactness of your assessment of program performance will be highly dependent upon the quantity and quality of the data which you have available or are able to secure. The important point at this time, in the evolution of your PIC, is that you conduct some type of formal performance assessment of programmatic outcomes to obtain a basis for making replanning decisions. This assessment will enable you to identify barriers to effective programming. The identification of these barriers will enable you to plan for their elimination.

## 2. Assess PIC Organizational and Operational Performance

At the same time that you're assessing your PIC's program performance, you should determine how well your PIC performed organizationally and operationally. The purpose of this inquiry is to examine the PIC's basic arrangements and methods of functioning to determine their utility for future program operations.

Areas that you should look at in this step include: PIC Organization, PIC Operations, PIC Procedures and Methods. Possible questions that you might ask yourself in each of these areas follow.

PIC Organization

- Are PIC goals clear, understood, and shared by members?
- Are the PIC members clear on the role they want the Council to play with reference to the Private Sector Initiative Program?
- Are the divisions of responsibilities among and between PIC staff and members clear?
- Does the PIC have a complete statement of mission and function?
- Is the Council structured most effectively and efficiently to facilitate both decision-making and program oversight?

PIC Operations

- Is the PIC well-staffed? Are the PIC and the staff assigned to or hired by it working productively together?
- Is there an active core of the PIC membership large enough to sustain continuous decision-making and program support activity? Can vacancies be filled in a timely fashion, and are they filled using criteria that help sustain and build this core of active members?
- Are PIC relations with the Prime Sponsor good enough to allow the PIC to have any leverage on the whole CETA system?
- Is the PIC visible and positively received in the local business community?

PIC Procedures and Methods

- Does the PIC have administrative procedures and operating guidelines in place? Are they useful and current?
- Is the planning process for Title VII orderly and does it allow enough time to make reasoned decisions?

- Is the planning process structured to include individuals and institutions whose support for the final product is important?
- Does the PIC have a systematic method for monitoring program performance and taking corrective action as necessary?
- Does the PIC have a systematic plan for evaluating the effectiveness of each activity and its total program?
- Is the evaluation data which is collected sufficient in quantity and quality for PIC decision-making?

Again, the basic purpose for this analysis, as with the analysis of program performance, is to identify barriers to effective performance.

Replanning questions that you will want to be able to answer, based on your assessment of your PIC's organizational and operational performance, include:

- Is there a need to reorganize or to restructure the Council?
- Is there a need to clarify staff and/or member roles and responsibilities?
- Is there a need to improve staff or Council performance either in terms of work output, relations with one another, or external relations?
- Is there a need to develop new or more detailed administrative procedures and operating guidelines?
- Is there a need to upgrade the PIC planning, management and evaluation process?

Your answers to these questions will begin the initial shaping of the strategic framework through which the PIC will achieve its programmatic purpose and objectives.

### 3. Establish Initial Needs Priorities

As you know, your PIC has two broad categories of programmatic activities which it can support:

- Training and Development Projects - projects specifically directed toward CETA participants to prepare them to secure unsubsidized employment.
- Employment Generating Services (EGS) - projects or services not specifically directed toward clients, intended and designed to generate increased employment opportunities in the private sector for the CETA participant.

This step consists of taking the data obtained in the needs assessment and reviewing it to establish a preliminary ranking of needs and priorities within those programmatic categories. Establishing these priorities involves:

- defining employment generating service
- selecting target groups
- determining occupations for training programs
- defining participant training and development service needs.

#### Defining EGS Needs

Under Employment Generating Services, your PIC has the responsibility of:

- attempting to bridge the gap between the private and public sectors
- helping to create new job opportunities for the un- and underemployed
- developing innovative alternatives to traditional approaches to meeting employment and training needs.

To discharge these responsibilities, your PIC needs to evaluate local circumstances and conditions. By using your needs assessment data to answer questions, you can determine which needs are most important at this time, and then design the Employment Generating Services portion of your plan to address these needs. Questions you might ask yourself in reviewing that data are:

- Is there a lack of awareness of PSIP?
- Is there a negative impression toward governmental employment and training programs?
- Do good job opportunities exist within the local environment which go unfilled because of lack of contact between governmentally-sponsored programs and local business establishments?
- Is there a need to help create jobs or to develop the economic climate of the community?
- Is there effective cooperation and communication among those agencies which constitute your local employment and training network?
- Have governmentally-sponsored programs been designed to be directly responsive to the needs of local businesses?
- What do local employers feel inhibits their employment of the structurally unemployed?
- What services can be provided to enhance the local business communities' receptivity toward your program?

## Selecting Target Groups

To initiate the process of setting priorities on the training and development side, your PIC should select the groups who will be your targets for both training and development projects and services. The decision of whom to serve is very much a local option. You should take the data secured in the needs assessment into account in making this decision.

As with occupations, you might want to establish certain factors or considerations to look at in making your determination of target groups. Possible factors could be:

- relative overall severity of need of each participant group
- "employability" based on characteristics (e.g., education, length of unemployment) of the members of the participant group
- percentage of participant group being served by other employment and training programs

- particular or special needs of subgroups (e.g., displaced homemakers; ex-offenders; alcoholics; Vietnam vets).

## Determining Occupations for Training Programs

As part of deciding on your PIC's training and development agenda, you should determine, from among all of those "growth" occupations (due to job turnover or job expansion) as revealed by your labor market analysis, which should be priorities for training programs to be sponsored through your PIC.

To make this determination, you should establish some criteria that you can use to review the growth occupations and their "suitability" for the participants in your program. Possible factors for which your PIC could establish specific criteria include:

- total number of projected openings for the year
- percentage of "entry-level" openings
- projected growth rate for 5-year period
- hourly starting salary
- promotion potential
- nature of working environment and conditions
- skill or training requirements.

## Defining Participant Service Needs

In addition to determining the occupations which should be priorities for training programs to be sponsored through your PIC, at this point, you should also indentify the priority service needs of those individuals who will constitute the population for your PIC's program. In certain instances, participants may require assistance or support in addition to training. For example, a participant may require health care or transportation assistance. In other instances, you may find that target group participants do not require occupational training, but only services such as orientation to the world of work or placement. You can use your needs assessment data to make this determination. In addition, the Prime Sponsor staff can be a valuable resource for additional insights and advice in this area.

Once your PIC has defined its potential priority employment generating services, target groups, occupations for training programs, and participant service needs, you have the basis for setting your PIC's programmatic goals.

## 4. Redefine PIC Mission and Functions

The CETA Regulations spell out broad purposes and roles, as follows, for a Private Industry Council.

Purposes: To increase the involvement of the business community, including small business, minority business enterprises, and labor organizations in employment and training activities.

To increase private sector employment opportunities for economically disadvantaged persons.

Roles: The PIC shall:

- serve as an intermediary to assist the local employment and training structure to become more responsive to the business community.
- serve as the business and industry contact point in the local employment and training system, to present the private sector's view and recommendations for making programs more responsive to local employment needs.
- advise and provide direction to the local employment and training system on ways to increase private sector job placements for eligible persons.

Within this broad context, it is up to your PIC to define its specific mission (purpose and role(s)) and functions more precisely. In this step, you reexamine your present definition of purpose, role(s), and functions, in light of the results of your assessments of community needs and PIC programmatic and operational performance, to determine whether they are still appropriate or need to be modified.

### Purpose

A purpose is a statement of ultimate intent and results expected in the long term by the PIC. Your PIC's purpose should flow from the Title VII regulations and legislation and then be adapted to express your local emphasis. Although the Title VII regulations provide the initial mandate for your PIC, you should look at the situation and needs within your community and then broaden or restrict your PIC's scope to relate to those specific needs (see discussion in Section I on critical PME decisions). An example of one PIC's statement of purpose follows:

> To increase substantially the involvement of the private sector in publicly-financed employment and training programs.
>
> To strengthen the capacity of the employment and training system to respond to the needs of both industry and the economically disadvantaged.
>
> To increase the access to good jobs for the economically disadvantaged and structurally unemployed.
>
> To improve the local investment climate and to increase coordination between employment and training and economic development programs.

### Role(s)

There is no single prescribed set of roles for a Private Industry Council. The three basic potential roles for a PIC, none of which excludes either of the others, are:

Advisor - Reviewer and consultant to local CETA Prime Sponsor in program planning, implementation, and review process.

Broker - Facilitator and provider of technical assistance for connections between employers, the Prime Sponsor, other providers of employment and training services and the community.

Operator - Designer and deliverer of direct services either to participants, employers, or other agencies.

As suggested, the CETA Regulations require your PIC to play, at least, the advisor or consultant role in certain areas. Your responsibility, at this point, is to clarify the additional role(s) that your Council wants to assume, if any, with reference not only to PSIP, but to other employment and training activities under CETA and related programs (economic development, education, etc.).

## Functions

Based on the role(s) that your Council selects, you should determine the functions that you wish to perform. The primary required function for the PIC is to design and develop the Title VII program. One other required function discussed earlier is to analyze private sector job opportunities.

Examples of possible discretionary options as they relate to the three basic roles for your PIC are listed below.

### Advisor

- Identify factors which contribute to program effectiveness
- Examine the performance of CETA and the Employment Service
- Review and comment on plans of economic development agencies

### Broker

Between individual employers and publicly-funded programs:

- Disseminate CETA and PIC program information to employers
- Disseminate information on the Targeted Jobs Tax Credit and other employment incentives

- Develop and market model contracts
- Provide assistance to employers to reduce the administrative burden for participating in employment and training programs
- Encourage employers to develop, and to coordinate with training agencies, job skill requirement forecasts

Between employers (as a group) and other groups or institutions in the community:

- Coordinate Title VII programs with other employment and training activities
- Develop linkages between school and work
- Develop linkages between employment and training and economic development programs

## Operator

Programs for workers:

- Provide world of work training
- Provide vocational skills training
- Provide entrepreneurship training

Programs for employers:

- Provide services linked to CETA training and placement
- Provide economic development and job creating related services

Programs for education/employment and training staff:

- Promote exposure to private industry
- Provide assistance in accomplishing specific tasks

In conclusion, establishing your PIC's mission and functions is an essential precondition for establishing its programmatic orientation and strategy.

## 5. Refine PIC Organizational and Operational Framework

The PIC has a large degree of latitude in establishing its structure, staffing, operational procedures, and organizational status. The purpose of this step is to reexamine those basic working arrangements which have been established by your PIC to see if they are still viable.

### Structure

The size, composition, and structure of your Council should be dictated by local needs, interests, and the mission and function which your PIC establishes for itself. Factors which you should consider in reexamining the nature of your PIC include:

- relationships with other CETA programs
- physical requirements for meetings
- manageability of PIC for staff and chairpersons
- workload requirements upon Council members
- representativeness of Council in terms of composition (Are small and minority businesses adequately represented? Does the Council reflect the largest possible segment of community concerns, such as schools, economic development agencies?)
- staff and services necessary to support the PIC
- the membership (Should it include Chief Executive Officers or other management staff? This may vary among PICs depending on their overall role and programs.)

A distinct factor meriting special reconsideration in this area is the structure and design of your standard subcommittees. PIC subcommittees tend to be defined either structurally---i.e., by industry: clerical, automotive; or functionally---i.e., by PIC purpose: executive, planning, monitoring and evaluation. Your PIC should look at its subcommittees to see if they:

- are defined most appropriately given local needs
- are useful for decision-making purposes
- have proper membership
- are sufficiently comprehensive in their coverage (Do you frequently have to create ad hoc committees?)

## Staffing

There are a variety of possibilities for staffing PICs, ranging from part-time CETA staff on the one hand, to full-time PIC employees on the other. Your need is to determine whether the staffing mode presently being used by your PIC is satisfactory. Other important considerations should be whether your PIC's staffing level is adequate, and whether the division of labor among staff members is equitable.

## Operational Procedures and Methods

Another essential area to reflect upon is your PIC's operational procedures and methods. The assessment data will allow you to determine whether your PIC's administrative methods and processes for discharging the PIC's business and responsibilities are adequate or whether they need to be altered. Administrative items that you should look at include:

- Council by-laws
- Meeting procedures (formal and informal process)
- Selection and duties of officers
- Roles and responsibilities of Council members, staff

As part of your determination here, you should decide whether your PIC's process for planning, management and evaluation needs revision.

Organizational Status

One last important concern should be your PIC's organizational status. Again, as with the other areas under this heading, there is no single prescribed PIC organizational model. Options which are possible include:

- advisory position within CETA Prime Sponsor's system
- incorporation as non-profit organization
- segment of existing business organization (e.g., part of Chamber of Commerce, NAB)
- multijurisdictional PIC covering more than one prime sponsorship.

Your responsibility is to determine whether the present status of your PIC enables it to perform most effectively and efficiently. At a minimum, you should ensure that you have a direct and clear relationship to the Prime Sponsor, the Prime Sponsor's advisory council, and to the chief elected official in your community.

The net result of this step should be that your PIC institutes all alternative organizational and operational arrangements necessary to eliminate those barriers which you feel have impeded effective performance to date.

### 6. Formulate Goals and PIC Strategic Plan

The final step in this stage is converting the results of your assessments and analysis, and your PIC's preliminary decisions into goals and a strategic plan. A goal is a broad unquantified statement of an outcome or result which your PIC wants to achieve. A strategic plan is a summary statement which details all of the goals you want to accomplish in the upcoming year and expresses their relative importance. The plan also presents those goals which are longer term in nature and establishes some general time parameters for their accomplishment.

## Setting Goals

There are three major areas in which your PIC can set goals:

- Employment Generating Services
- Participant Services - Training and Development
- Organizational

If you have already established priorities for the needs of employers, occupations, and target groups, and your PIC itself, and identified any barriers to be overcome or reduced, then establishing your PIC's goals is a straightforward process and can almost be done by formula as shown below:

| Assessment Data | | Goals |
|---|---|---|
| • Employer needs + barriers to overcome | = | Employment Generating Services |
| • Priority occupations + training needs + target groups | = | Participant Services/ Training and Development |
| • Target participants + assistance needs + barriers to overcome | | |
| • PIC internal needs + barriers to overcome | = | Organizational |

Example goals as they relate to each of the above categories follow:

| AREA | NEEDS/BARRIERS | GOALS |
|---|---|---|
| Employment Generating Services | . Insufficient labor market date for PIC decision-making purposes. | . To improve the quantity, quality, and decision-making value of local labor market information. |
| | . Lack of knowledge in the business community regarding PIC programs. | . To create and implement a comprehensive, ongoing marketing program for PIC activities. |
| | . Inadequate relationship between public and private sector economic development efforts. | . To establish a coordinated long-term economic development linkage between the public and private sectors with the result of creating greater job opportunities for economically disadvantaged persons. |
| Participant Services - Training and Development | . Large number of unfilled clerical positions + high percentage of unemployed black and Hispanic females between ages of 18-35. | . To enable black and Hispanic females, ages 18-35, to secure unsubsidized clerical jobs in the private sector. |
| | . Lack of opportunity for upgrading within major local private sector industries which employ significant numbers of lower salaried individuals in entry-level positions. | . To institute effort with major employers to upgrade employees from entry-level jobs to positions of greater skill. |
| | . Inadequate understanding and development of general work skills and habits among youths, 18-21. | . To enhance the employability of youths, ages 18-21. |
| PIC Organization | . Poor planning, management and evaluation process - unclear definition of responsibilities and inadequate system design. | . To redesign PIC's PME Process and assign definite PME responsibilities to both staff and members. |

The areas in which you set goals and the number of goals that you set will be determined by the nature of your local needs.

## Developing the Strategic Plan

Setting goals, however, is not the difficult part of establishing your PIC's strategic plan. The more demanding task is deciding what your PIC's mix of goals should be and which goals should take precedence.

This determination is truly your option. The CETA regulations only stipulate the percentages of your Title VII funds which can or have to be allocated to each category of activities:

- Direct participant services - at least 50%
- Employment generating services - up to 30%
- Administrative activities - no more than 20%
- Economic development activities - 10% incentive for sponsorship

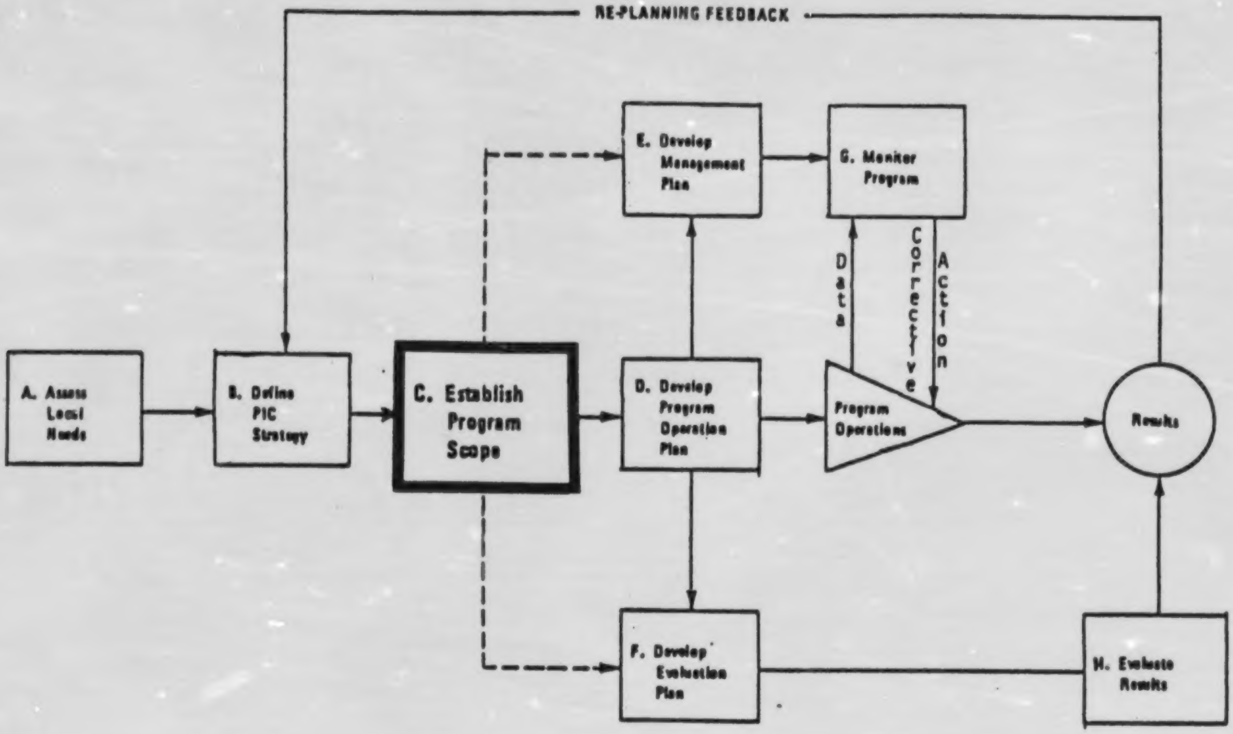
Within those guidelines, it's up to you to determine what relative priorities, mix of goals, and eventual distribution of dollars can best meet the employment and training needs within your community. Factors that should be taken into account in making these decisions between and among goals are:

- appropriateness to your PIC's mission
- appropriateness to economic conditions
- acceptability to community
- obstacles to achievement
- trade-offs in outcomes associated with selection of one goal over another.

Finally, once your PIC has reached consensus on its goals, their relative priorities, and the rough percentage of the budget to be allocated to each goal, this information should be recorded as the PIC's strategic plan for the year.

In addition, the plan should list all other longer-term goals which are important for your PIC and which will be addressed in succeeding years. The portion of the strategic plan relating to next year provides the initial substantive parameters for the full scope of programmatic activities to be undertaken by your PIC.

# C. ESTABLISH PROGRAM SCOPE


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

Purpose: To translate the broad goals and directions set out in the strategic plan into specific program objectives and projects for achieving them.

Steps:

1. Define Appropriate Tactics
2. Draft PIC Program Objectives
3. Specify Projects and Scope

Outcome:

A preliminary design of PIC's program scope for fiscal year.

Use: The program scope is used as the basis for structuring the program's delivery system and securing any additional assistance needed to implement the PIC's program.

## 1. Define Appropriate Tactics

The first step toward converting your PIC's strategic plan into a workable reality is defining what tactic(s) is(are) most appropriate and should be used to accomplish each goal that you have set. A tactic is a general means or broadly-formed activity for achieving an end.

The range of options available to your PIC is wide. Again, as with your goals, these options can be broken down into the categories of participant services and employment generating services.

### Participant-Related Tactics

Major participant-related tactics include:

- Classroom training (vocational) - training conducted away from a job to provide the participant with specific technical knowledge and skills necessary to perform successfully in a job.

- Classroom training (employability)-training conducted away from a job to provide the participant with the fundamental knowledge, skills, abilities, and attitudes necessary to secure and hold an unsubsidized private sector job.

- On-the-Job training - training and supervision provided to participants hired by private sector firms to enable them to develop all necessary occupational skills while employed in a productive job in the private sector.

- Upgrading - skill training (either classroom or OJT) of individuals locked in low paying dead-end jobs to enable them to qualify for positions requiring greater skill within the same business enterprise.

- Retraining - skill training (either classroom or OJT) in occupational skill shortage areas to teach participants new skills distinct from those already possessed.

- Employment and training services - services to enhance an individual's capabilities and opportunities for securing unsubsidized employment. These services include but are not limited to:

  - orientation to world of work
  - counseling (employment related and testing)
  - employability assessment
  - job development
  - job search assistance
  - job referral and placement
  - Target Jobs Tax Credit - eligibility determination
  - vocational exploration programs

- Supportive services - services to eliminate possible barriers to successful employment. Services include but are not limited to:

  - health care and medical services
  - child care
  - transportation
  - temporary shelter
  - financial counseling and assistance

Employment Generating Tactics

The tactics available to your PIC to help create jobs under the Employment Generating heading are even more varied than those tactics which are participant-related. Some of the most common major tactics that your PIC might choose from include:

- Labor Market Analysis - studies of local businesses to identify the particular labor market needs within the community

- Marketing - activities to expand awareness, explain benefits, and provide assistance to local businesses to increase their participation in CETA programs

- Economic and Community Development - efforts to attract, retain, and/or expand businesses to enhance economic and community conditions within the local area

- Incentive Programs - programs created to offer or to promote special benefits, such as Targeted Jobs Tax Credit, to induce private sector employers to hire CETA-eligible participants

- Linkage Creation - efforts to forge new relations with existing institutions (i.e., government agencies, business groups, community groups, labor unions, local planning bodies, and schools/colleges) to improve employment and training capabilities within the local community.

## Selecting Your Tactics

The foregoing list of tactics for participant and employment generating services are meant to be instructive and not exhaustive. These tactics are not important as ends in themselves, but only as they relate to the goals you have set for your PIC.

To a large degree, each of your goals will imply, and the analysis which preceded its development will enable you to select, a primary tactic which will be appropriate to your end. The two examples below show the relation between goals and barriers, and tactics which might be selected in response to them.

| GOAL | PRIMARY BARRIER | APPROPRIATE TACTIC(S) |
|---|---|---|
| To enable unemployed black or Hispanic females, ages 18-35, to secure unsubsidized clerical jobs in the private sector | Knowledge and skill deficiency | Classroom training: vocational - clerical skills |
| To improve the quantity, quality, and decision-making value of local labor market information | Inadequacy of standard source data | Labor market analysis - local employer survey |

Your PIC should select a primary tactic to achieve each goal that you have set. The goal plus the tactic provide the basis for setting your PIC's programmatic objective and beginning the process of shaping your PIC's total program of activities and services.

## 2. Draft PIC Program Objectives

Once you have goals and tactics related to them, you translate this information into your PIC's program objectives for the fiscal year. Program objectives tell you what your PIC is going to do and how well.

A program objective should be either a quantifiable, or in some other way measurable, expression of what is to occur specifically as a result of a program tactic. Your PIC's program objectives help to narrow the focus of your goals and provide the bridge between the more abstract or conceptual strategic planning stage and the more concrete stage of operational planning. They also provide criteria against which to measure programmatic performance at the end of the fiscal year.

It is useful to look at program objectives in the two categories described earlier:

- Participant-related
- Employment Generating Services related (EGS)

The process of setting objectives for each category is similar, but the actual mechanics are slightly different.

### Participant-Related Objectives

Participant-related objectives should answer at least four basic questions:

Who - description of people to be served

How Many - number of people to be served

What Means - tactic (primary service or activity to be provided)

Results - primary final outcome expected.

An example of a participant-related objective based upon a goal set earlier follows.

Goal: To enable unemployed black or Hispanic females, ages 18-35, to secure unsubsidized clerical jobs in the private sector.

The goal tells you:

Who: black and Hispanic females, ages 18-35

Results: unsubsidized clerical jobs in the private sector.

The tactic tells you:

What Means: classroom training.

At this point, it's up to your PIC to answer the question of how many in order to create a program objective. Let's say that your Council answered that question as follows:

How Many: 75.

Then, your PIC's program objective related to this goal would be:

Objective: To enable, through classroom training, 75 unemployed black and Hispanic females, ages 18-35, to secure unsubsidized clerical jobs in the private sector.

While the above is sufficient for a program objective, if it chooses, your PIC can make its objective even more precise by answering other questions regarding results, e.g., how well, at what cost, quality of job. An expanded objective incorporating answers to these questions follows:

> To enable, through classroom training, 75 unemployed black and Hispanic females, ages 18-35, to secure unsubsidized private sector positions having an average wage of $5.25/hr. at an average cost of $1,500.00 per participant.

Your PIC should make its participant-related program objectives as precise as you feel they need to be for program management purposes. The advantage of more detailed program objectives is that they provide clearer direction for all planning, management, and evaluation activities to follow.

## EGS-Related Objectives

Given the broader scope and somewhat less tangible nature (e.g., linkages, improved business relations) of Employment Generating Services, as opposed to those activities which are directly participant-related, it will probably be more difficult for your PIC to set objectives from goals related to them. It is just as necessary and important, however.

Fortunately, setting your EGS objectives can be as straightforward a process as setting your participant-related objectives. Your goal tells you the general end you want to achieve and your tactic tells you what you need to do in order to achieve that end (e.g., conduct a local employer survey). To develop an EGS-related objective, you need only to determine "how well." To determine how well, you should answer the following questions:

- By what time or within what time frame should the project be completed?
- Is there a quantitative measure or value which can be assigned to the project (e.g., contacts to be made, positive responses to surveys, reports to be produced, meetings to be held, new jobs filled by participants)?
- Is there a qualitative value which can be assigned to the project (e.g., number of acceptable errors, adherence to some established external criterion, completeness, acceptability to the Council)?
- Is there a cost-efficiency/effectiveness/effort value which can be assigned to the project (e.g., cost per report produced, cost per person placed, number of staff days to be spent on project)?

Three examples of EGS-related objectives pertaining to the goals described earlier and answering all of the above questions follow:

Goal: To improve the quantity, quality, and decision-making value of local labor market information.

Objective: To complete, within 6 months, a local employer survey of 100 selected leading industries in order to identify valid and reliable data on entry-level job opportunities and salary level of positions at a total survey cost of no more than $10,000.00.

Goal: To establish a coordinated long-term economic development linkage between the public and the private sector with the long-term result of creating job opportunities for economically disadvantaged persons.

Objectives: To create a joint committee to be composed of representatives from public sector economic development agencies and private sector investment firms which will develop within the next 9 months a comprehensive local economic development strategy at cost to benefit CETA-eligible participants. Effort will require two person months from PIC staff.

To coordinate with the City Development Department to ensure that 20% of construction jobs being generated on the two downtown redevelopment projects, supported primarily through EDA and UDAC funds, are set aside for CETA-eligible participants.

Again, your EGS objectives need not be this detailed. At a minimum, however, for each EGS-related objective your PIC should specify the end product or result it expects and associate at least one "how well" measure (i.e., time, quantity, quality, cost) with it.

There are no absolute numbers of program objectives that ought to be set by any PIC. The essential consideration should be, as noted earlier, that your PIC set at least one objective for each goal/tactic that you intend to undertake.

## 3. Specify Projects and Scope

The last step in the development of the preliminary design of your PIC's program for the fiscal year is to identify those specific projects to be undertaken. Projects are the discrete services and activities to be sponsored through the PIC in order to achieve its programmatic objectives. There are three tasks involved in project specification:

- Determine number and types of projects
- Define objectives and scope of each project
- Allocate resources to projects

An example of a program objective for which you would probably have only one project is the EGS objective related to labor market analysis:

> Objective: To complete, within 6 months, a local employer survey of 100 selected leading industries in order to identify valid and reliable data on entry-level job opportunities and salary level positions at a total survey cost of no more than $10,000.00.

The sole project to be undertaken with reference to this objective would be a local employer survey.

On the other hand, there are other areas in which your PIC might initiate multiple projects. For example, referring back to the participant-related objective for clerical positions:

> To enable, through classroom training, 75 unemployed black and Hispanic females, ages 18-35, to secure unsubsidized private sector positions having an average wage of $5.25/hr. at an average cost of $1,500.00 per participant.

It is possible that your PIC might want to split up this objective into two projects or more with each project being operated by a different service deliverer (e.g., community college; private sector proprietary institution, non-profit community-based organization).

As another example of a program objective which would be met through multiple projects, let's look at an objective related to an example goal stated earlier in the text:

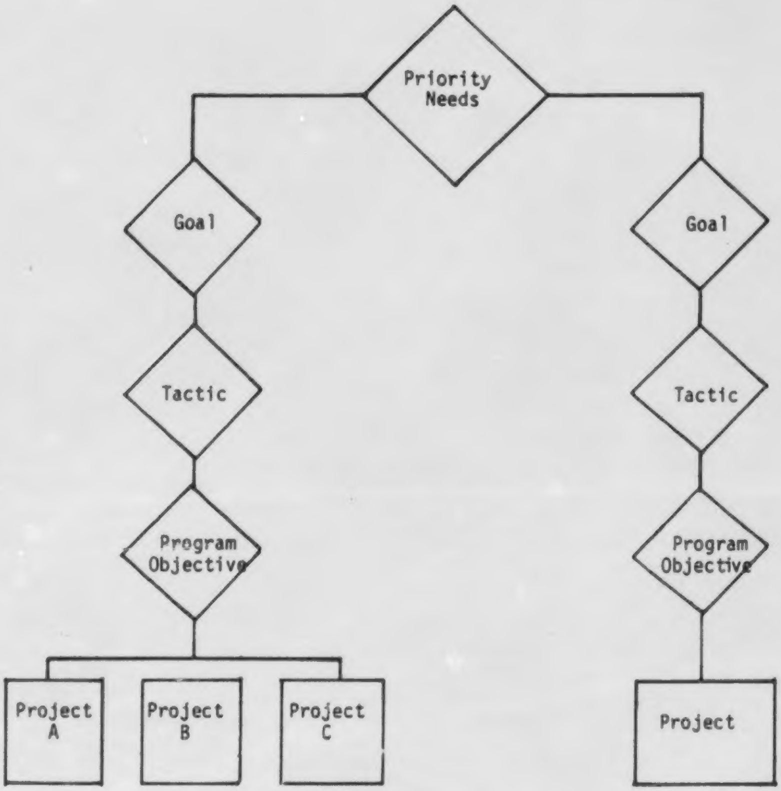
Goal: To institute a program with major local employers to upgrade employees from entry-level jobs to positions of greater skill and higher salaries.

Objective: To institute a program with major local employers to upgrade at least 200 employees from entry-level jobs to positions of greater skills and higher salaries.

## Determining Project Number and Types

Projects are derived directly from programmatic objectives. In some instances, you may have only one project per objective. In others, you may have as many as three or four projects. This fact is represented in the flow chart below which summarizes PIC activity to this point in decision-making terms:

PIC Planning - Decision-Making Flow Chart


Priority Needs
Goal
Goal
Tactic
Tactic
Program Objective
Program Objective
Project A
Project B
Project C
Project

Obviously, this objective calls for the designation of a specific number of employees by name and participants per employer for the upgrading program as an integral part of the planning process.

### Setting Scope and Objectives

Once the number and type of projects for each objective are clarified, your next task is to establish the specific scope and objectives for each project. Essentially, this consists of breaking the program objectives down and assigning specific objectives to each project. This is done by answering the same questions posed earlier to establish your PIC's program objectives related to Participant and Employment Generating Services.

Participant

Who?
How Many?
What Means?
Primary Result?
How Well?

Employment Generating Services

Primary Result?
How Well?
- Time?
- Quantity?
- Quality?
- Cost?

The end result of this process should be a clear statement for each project of:

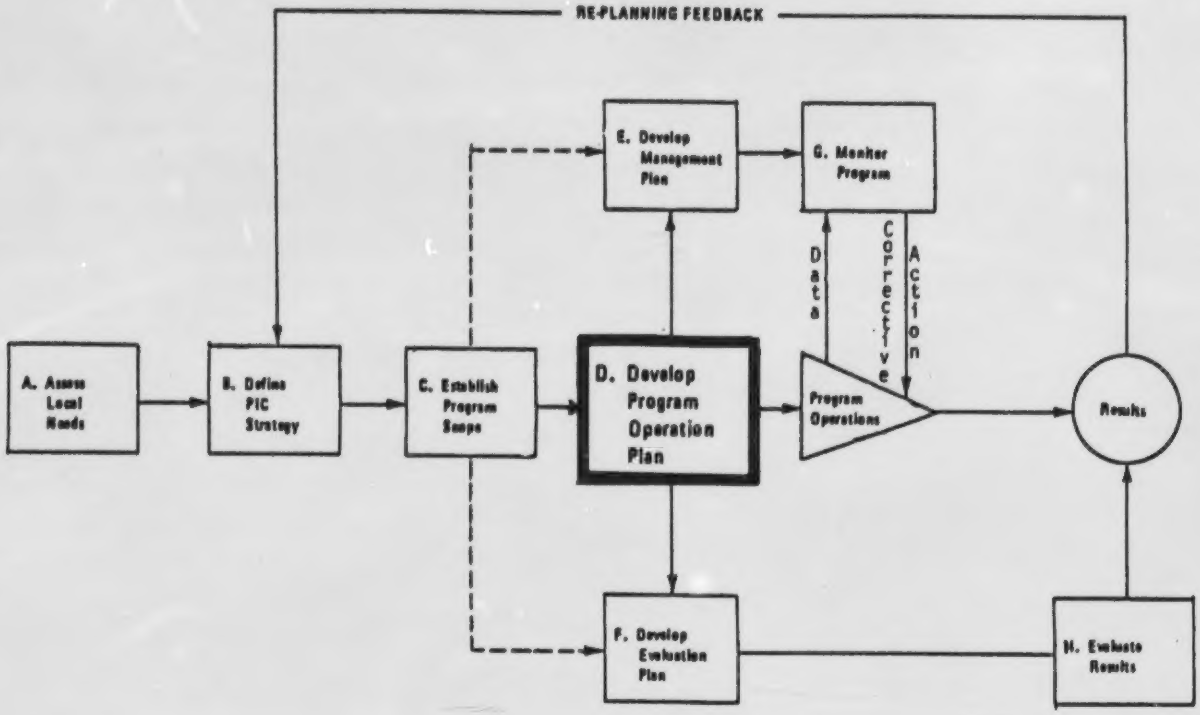
- principal outcome in measurable terms
- primary service or assistance to be delivered
- other activities and services that comprise the project.

### Allocating Financial Resources

After all projects are thoroughly defined, your PIC's remaining task is to allocate the financial resources necessary to accomplish each project. As discussed earlier, the initial decision regarding fund allocations is made when you develop your strategic plan. At that time, you obligate the approximate amount of dollars that you want to spend to achieve each goal. This decision is checked again when you set your PIC's program objectives.

Now, as the final act prior to developing your plan for operation of the PIC's program, you break out the amount to be expended on each project in order to estimate cost feasibility and to ensure that there are sufficient resources to deliver the full scope of program services that are planned. If there are shortfalls either overall or within a given area, you rebudget and adjust your program objectives and project objectives and scope accordingly. After this activity is completed, you are in a position to develop your PIC's plan for program operations.

## D. DEVELOP PROGRAM OPERATIONS PLAN


RE-PLANNING FEEDBACK
E. Develop Management Plan
G. Monitor Program
Data
Corrective Action
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
Program Operations
Results
F. Develop Evaluation Plan
H. Evaluate Results

**Purpose:** To establish a detailed plan and procedures for operating your PIC's program.

**Steps:**

1. Structure Program Delivery System
2. Establish Performance Standards
3. Secure Necessary Assistance
4. Finalize and Approve Operations Plan

**Outcome:** A written statement which spells out clearly your PIC's performance standards, and its specific agenda and methods for addressing the employment and training needs of the community.

**Use:** The Program Plan serves as the primary guide and reference for PIC program operations. Used in conjunction with your PIC's Management Plan and Evaluation Plan, it constitutes a comprehensive framework for ensuring satisfactory program implementation and performance.

## 1. Structure Program Delivery System

In this step, your PIC makes the decisions which are probably most critical to its programmatic success or failure. These decisions relate to how you are going to deliver what you have decided upon as your program for the year. Basic considerations to be factored into your decision-making at this point include:

- what parts of the Prime Sponsor delivery system you will want to use
- how much direct control your PIC will want over those projects which you sponsor; what the PIC wants to operate directly and what it wants others to provide
- what the relative tradeoffs are in terms of cost and credibility among various types of service deliverers
- should essential services be delivered on a decentralized or centralized basis.

There are three primary tasks involved in structuring the delivery system:

- Designing
- Developing Project Delivery Framework
- Establishing Administrative Infrastructure

### Project Design

The first order of business in establishing your PIC's delivery system is designing the projects which are to be initiated. If your PIC has decided to run all or certain projects itself, then a great amount of your attention and effort will go into this area. However, since the majority of PICs contract most activities at this time, basic principles and factors related to effective project design are discussed under "Step 3. Secure Necessary Assistance" which follows.

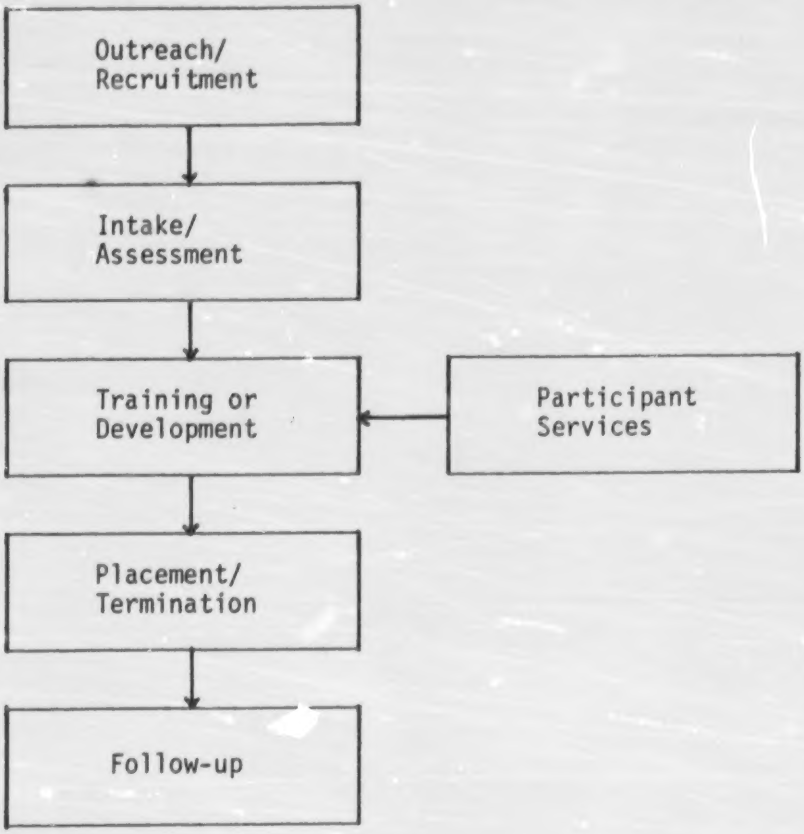
## Project Delivery Framework

Regardless of whether your PIC implements all its own projects, contracts them, or is somewhere in between, you need to establish an overall framework for coordinating and integrating your PIC's projects. That framework will have two aspects -- (1) training and development or participant activities and (2) EGS activities.

### Training and Development (Participant) Activities

The general model for CETA participant client flow is indicated in the following chart.

CETA Client Flow Model


Outreach/
Recruitment
Intake/
Assessment
Training or
Development
Participant
Services
Placement/
Termination
Follow-up

Basic questions that you can ask yourself as they relate to the foregoing model and your PIC's projects include:

- How will your PIC handle its outreach, recruitment, intake, and assessment of participants? Through a central source? Through each service deliverer?
- What provisions will be made, if any, to meet the special development and support service needs of participants?
- Will any placement, job development, and program termination activities be undertaken?
- Will your PIC make special arrangements for follow-up assistance to program services? Yes? No?

Your answers to these and other questions which you consider important will determine the shape of the participant service aspects of your PIC's delivery system.

## EGS Activities

To structure the EGS side of your delivery system, you should answer questions including:

- What end products or results will be produced? During what time period or by what date?
- What interim products will be produced? By what date?
- What major activities will be accomplished? By what date?
- What are project benchmarks? When will they occur?
- What are the major tasks or steps necessary to complete each project? What are their timelines?

Answering these questions for all EGS projects will enable you to develop a time-phased product/activity schedule which can be used to direct the implementation of your PIC's EGS projects over the course of the year.

## Administrative Infrastructure

As the last task in developing your program delivery system, your PIC should design and put into place an administrative infrastructure which complements and supports your decisions regarding participant and EGS project delivery. To do this, you must review and/or decide:

- What projects the PIC will run itself and the staffing required
- How to direct, coordinate, and control all projects to be initiated
- How to evaluate the net results of your projects
- Who will be responsible for what.

The decisions that you reach here will determine the day-to-day administrative organization and the staffing needs for your PIC. In addition, they will have an impact on your PIC's Management and Evaluation Plans (see Sections E and F following).

## Establish Program Performance Standards

After you have structured your program delivery system, your PIC's next step is to establish its program performance standards for the fical year. Performance standards are measurable descriptions of what constitutes a job well done for your PIC.

Performance standards are useful in all phases of the PIC's program. They

- help you to target resources and activities during the planning process
- serve as measures which can be used on an ongoing basis to asses relative progress and performance
- provide a means for making an objective assessment of PIC program performance.

If you set program objectives as described in Stage C "Establish Program Scope," then you already have the primary input to use in establishing your PIC's performance standards. To make these objectives into standards, you adjust them to reflect any new insights which you may have attained as a result of structuring your delivery system or to account for changed conditions in the local labor market or economy. These standards will then relate directly to your PIC's goal and tactics. They should be sufficient for program management and review purposes.

In addition, at this point you may want to:

- refine the standards you have developed
- create additional overall standards - this is probably most true for the participant service side of your program.

The discussion below describes various indicators that can be used to develop standards for the participant, employment generating and administrative sides of your program.

Indicators tell you what is to be measured. They are measurable factors indicating effectiveness which relate to a certain area of activity. By establishing a specific acceptable value for each indicator that your PIC selects, you can create a program performance standard.

## Training and Development (Participant Service) Standards

The Department of Labor is presently developing national performance standards for application to all CETA Prime Sponsors. Indicators which have been selected as appropriate for Titles II-B and II-D -- those CETA program components closest to Title VII's in intent and structure -- are:

- entered employment rate
- positive termination rate
- average wage at placement
- cost per entered employment
- cost per positive termination.

Your PIC may want to establish its own standards for each of these indicators. Additional overall participant indicators for which your PIC might develop standards or objectives include:

- indirect placement rate
- private sector placement
- cost per indirect placement
- total cumulative enrollment
- total current enrollment
- total accrued expenditures.

Examples of participant-related performance standards established by two PICs follow:

PIC A - Performance Standards for All Classroom Training Projects

| Assessment Category | Indicator | Standard |
|---|---|---|
| TERMINATION | Positive Termination Rate | 77.1% |
| | Entered Employment | 68.0% |
| COSTS | Cost per Positive Termination | $4,856.00 |
| | Cost per Entered Employment | 5,511.00 |
| RESOURCE USE | Total Cumulative Enrollment | 170 |
| | Total Current Enrollment | 39 |
| | Total Accrued Expenditures | $490,468.00 |

PIC B - Performance Standards for Various Projects

| Projects | Indicator | Standard |
|---|---|---|
| OJT | Entered Employment | 70% |
| | Satisfactory Completion and Retention by Employer | 65% |
| CLASSROOM TRAINING | Entered Employment | 70% |
| | % Entered Employment in Private Sector Jobs | 90% |
| | Positive Termination | 75% |
| PARTICIPANT PLACEMENT | % of Non-Administrative Funds to be Expended as Transfer Payments to Participants | 70% minimum |

Other indicators for which your PIC could develop standards as they relate to more specific parts of the participant activities of your program include:

| Component | Possible Indicator |
|---|---|
| Outreach and Recruitment | ● % of eligible referrals in relation to planned referrals |
| Intake | ● % of applicants confirmed eligible |
| Vocational Exploration | ● % of successful completers |
| Upgrading | ● Number or % of participants promoted |
| Retraining | ● Number or % of participants securing new positions with salary equal or greater to previous wages |
| Job Development | ● Number of jobs developed |

### Employment Generating Service Standards

Indicators which your PIC might use in developing standards for employment generating services are presented below by the major category to which they relate:

| Category | Possible Indicators |
|---|---|
| Linkages | ● Number of formal or informal agreements for loaned staff, use of facilities and other resources<br>● Number of formal or informal agreements completed with:<br>- businesses<br>- community groups<br>- unions<br>- schools<br>- others<br>● Number of business schools involved in joint training programs with PIC |

| Category | Possible Indicators |
|---|---|
| Economic and Community Development | Number of jobs retained (or added) locally as a result of issuing industrial revenue bonds to companies about to close or relocate. |
| | Number of new jobs created/ear-marked for PIC participants. |
| | Number of new jobs filled by PIC participants. |
| | Number of new jobs for PIC participants developed as a result of attracting new business. |
| | Number of program participants successful in getting funding and training for opening a small business. |
| | Number of new small businesses established in target neighborhoods. |
| | Number of workers (or program participants) served by PIC-initiated transportation program. |
| | Number of program participants who have found permanent employment in PIC-initiated day care centers. |
| | Number of program participants placed in jobs who are also using PIC-initiated day care centers. |
| Incentive Program | Number of employers hiring participants. |
| | Number of participants placed through use of TJTC or other incentive. |
| Marketing | TJTC positions generated through seminars and/or direct sales efforts. |
| | Percentage or number of new businesses participating in the hiring or training of PIC participants. |
| | Number of telephone and/or letter inquiries from employers as result of specific advertising effort. |

## Administrative Standards

The last major area in which your PIC might want to establish program performance standards is on the general administration of the PIC and PSIP itself. Using indicators such as:

- representativeness of Council
- average attendance at Council meeting
- description of operating policy and procedure
- adequacy and accuracy of program accounting
- frequency and quality of reports,

your PIC can create internal performance standards which will contribute to overall program effectiveness.

In conclusion, a caution is in order, as the foregoing discussion suggests it is possible to establish performance standards for almost everything and anything. You should not attempt to set program performance standards for every area of PIC activity. Rather, your PIC should restrict its program standards to those areas and indicators which you feel are key or critical to assessing your PIC's program performance.

## 3. Secure Necessary Assistance

The determination of performance standards is one of many considerations in deciding whether the PIC should operate programs directly or seek outside support. Obviously, your staff and resources will help dictate the limits of your capabilities, but performance standards can indicate to you whether there are existing deliverers that can meet your requirements, or whether other deliverers, including yourself and business, should be considered. The extent to which your PIC decides to secure outside assistance will be determined by the basic approach that it takes to delivering services. If your PIC needs outside assistance, the process that your PIC should follow to obtain that assistance is described on the following pages.

## Create List(s) of Potential Service Providers

A necessary pre-step to securing assistance is creating a list of potential service providers for each project which is to be contracted out. Your PIC can draw these lists, in part, from the inventory maintained by the CETA Prime Sponsor.

The Prime Sponsor's inventory will probably consist mainly of agencies or entities which currently provide or have provided services to CETA. As part or your responsibility to increase the private sector's involvement in CETA programs, you should expand the list to include businesses and business organizations with the capability to provide services which are the same or similar in nature to those desired. You should attempt to make your potential "bidders" list(s) as complete as possible, since the list determines what organizations will receive Requests for Proposals (RFPs) issued by the PIC.

## Develop and Issue RFPs

Your PIC should develop and issue a Request for Proposal for each project to be funded through the PIC but to be operated by an external agent. The amount of detail in each RFP will vary from project to project, depending upon the experience of the recipients and whether or not competitive procurements are being taken.

At a minimum, however, each RFP should consist of:

- information regarding the PIC and PSIP
- objectives of the project
- detailed statement of the scope of work (assistance/services) desired
- performance measures and standards to be used in assessing projects
- performance levels of prior programs or projects
- criteria by which the RFP will be evaluated (see next heading under this step)
- performance schedule
- reporting and management requirements
- description of the procurement policies and regulations of the PIC.

## Review and Select Service Providers

In order to select a successful proposer, there are some general considerations which you should take into account in reviewing each proposal submitted in response to an RFP. They include:

- proposer's understanding of scope of work
- sufficiency of content and work description
- organizational capabilities
- related experience
- relative costs for delivery of services in comparison to other proposers.

### Title VII Proposal Review Criteria

An example of an in-depth set of proposal review criteria developed by a PIC for a participant-related activity is provided below:

Program Impact/Outcome - Potential contribution of the program toward the resolution of the problems experienced by the eligible population, and the program's potential contribution toward the attainment of PIC goals.

- Will the proposed program result in placements in the private sector at a rate acceptable to the PIC?
- Will the proposed program result in proportional placement in jobs for all significant segments?
- Will the proposed program facilitate and result in retention of participants by employers after placement?
- Will the proposed training and/or services enhance the upward mobility and promotional opportunities of participants?

Program Design - Potential success of the program design in the attainment of the described outcomes/ impact.

- Does the proposed program satisfy one or more of the criteria for projects to be funded under Title VII within the PIC?

- Does the proposal contain a feasible design and rationale describing who will do what, when, where and how (i.e., program activities and participant flow)?

- If the cooperation of other organizations is necessary to successfully implement the program, does the proposal describe the coordination with those other organizations?

- Does the proposal describe adequate and potentially successful procedures for outreach, recruitment and assessment of participants that will ensure enrollment of significant segments at the proposed rates?

- Does the proposal adequately describe training for occupations which are in demand and explain how persons trained will be successfully placed into such jobs?

- Does the proposal adequately describe how the offeror will provide the support necessary to sustain participants throughout the training in order to reduce attrition?

Program Cost - How the following cost factors compare with competing proposals.

- Cost per participant enrolled (total program cost divided by the number of participants).

- Cost per placement (total program cost divided by the number of participants placed).

- Total costs (total program costs minus income transferred to participants).

- Does the proposal adequately explain and justify the costs of the program?

Management Plan - Ability of the organization to implement the proposed program and attain the stated objectives.

- Does the proposer's past relevant experience indicate a potential for successful management and implementation of the proposed program?

- Does the proposer demonstrate success, or reflect a potential for success in providing the described services and/or training?

- Does the proposer demonstrate success, or reflect a potential for success, in serving the eligible population?
- Does the management plan adequately and feasibly describe the necessary activities, events and timeline for successful implementation of the program?

## Reviewing Current Deliverers

The CETA regulations require that your PIC give special consideration to those current deliverers or project operators of "demonstrated effectiveness." The concept of demonstrated effectiveness is left open to local interpretation.

Actions which PICs have taken to give substance to the concept include:

- assessing compliance with CETA regulations
- evaluating planned vs. actual performance - (15% deviation indicating potential problems)
- comparing the performance of individual vendors in the same category (e.g., classroom training)
- comparing performance of individual vendors to performance standards

One PIC established the following guidelines to review the competence and projected effectiveness of existing training deliverers:

- Is training entity well-established?
- Does training entity have adequate facilities?
- Will it provide counseling and placement services?
- Has the curriculum been developed with private sector input?
- Does entity have adequate accounting procedures?
- What are criteria for instructors?
- Will attitudinal and skill training be provided?
- Will training qualify CETA participants for job openings?
- What are procedures for placing workers in unsubsidized jobs?

PICs are also in a unique position to identify businesses as deliverers. Many businesses, particularly larger ones, have excellent training facilities, staff and curricula.

Your PIC should develop and utilize its own set of criteria to secure the best service deliverer possible from among those respondents to your RFP.

## Negotiate and Develop Contracts

After you have identified the best proposer, you should negotiate a contract or agreement. This process should include clarifying any points you have regarding the RFP or areas in which you want to see the proposal modified. Once this process is completed, you should develop the formal contract. To the extent possible, this contract should follow the format of the RFP and incorporate the proposer's responses to the RFP. The contract should describe:

- Program description/design
- Goals and objectives
- Outcomes - quantitative performance standards, qualitative performance standards against which to evaluate success
- How project will fit in with overall PIC operations
- Target groups (if training and development agreement)
- Component design and participant flow
- Contractor responsibilities - reporting requirements, program time frames, requirements to agree to monitoring, audits, etc., and CETA Act and regulations, additional requirements and responsibilities as necessary
- Contract payment process
- Participant payment process (if training and development agreement).

## 4. Finalize and Approve Operations Plan

Having established your program performance standards, your last responsibility prior to actual program implementation is to finalize and approve the PIC's program operations plan. The primary task here is to prepare work plans or statements to guide all facets of the PIC's operation and to develop your final detailed cost estimates. After this is accomplished, the Council should approve the entire operations plan.

### Develop Work Plans

Work plans are like road maps. They provide a detailed picture of the work to be done, procedures for doing it, and precise and measurable standards of performance for each activity which is undertaken. Your PIC should develop or have work plans for all projects and major areas of activity (i.e., administration, management and evaluation, participant services, training and development services, employment generating services).

Work plans normally describe:

- services to be provided/activities to be accomplished
- planned inputs and outputs in terms of monthly or regularly scheduled objectives
- work to be performed by individuals and units (responsibility assignment)
- organizational charts and job descriptions for individuals working on project or in area
- schedule and action steps for accomplishing work
- administrative procedures to be followed
- monitoring arrangements including frequency and checkpoints.

### Final Costs

As part of putting together your PIC's operational plan, you need to do one more check on costs to be certain they are within the permissible and planned ranges. To accomplish this, you should:

- document all final project costs as determined through contract negotiation, and compare them to your original estimates to note any significant differences

- display all of the line item costs of the program to ensure that funds are being planned to generate services at maximum levels of efficiency and effectiveness in the areas of:

  - Administration
  - Allowances
  - Wages
  - Fringe Benefits
  - Training
  - Services

- array costs within the proper categories to ensure that all projected costs are in accordance with financial provisions of the Federal Regulations:

  Participant-Related - at least 50%
  EGS - up to 30%
  Administrative - no more than 20%

- ensure that your total cost does not exceed your total Title VII grant allocation, unless other available resources (federal, state, or local - public or private) have been committed to the program.

If your analysis reveals any problems in the budget you should make the last minute adjustments that are necessary to bring your total program into compliance.

## Approve Operations Plan

After all individual work plans are developed and cost estimates have been checked and finalized, this information should be consolidated into a master operations plan for the PIC. This master operations plan should incorporate the management and evaluation procedures and checkpoints from your PIC's Management and Evaluation plans into standard operating procedures for program operations. At a minimum, your PIC's final operation plan should describe:

- PIC Program Performance Standards
- PIC Administrative Structure and Organization
- PIC Operating Procedures

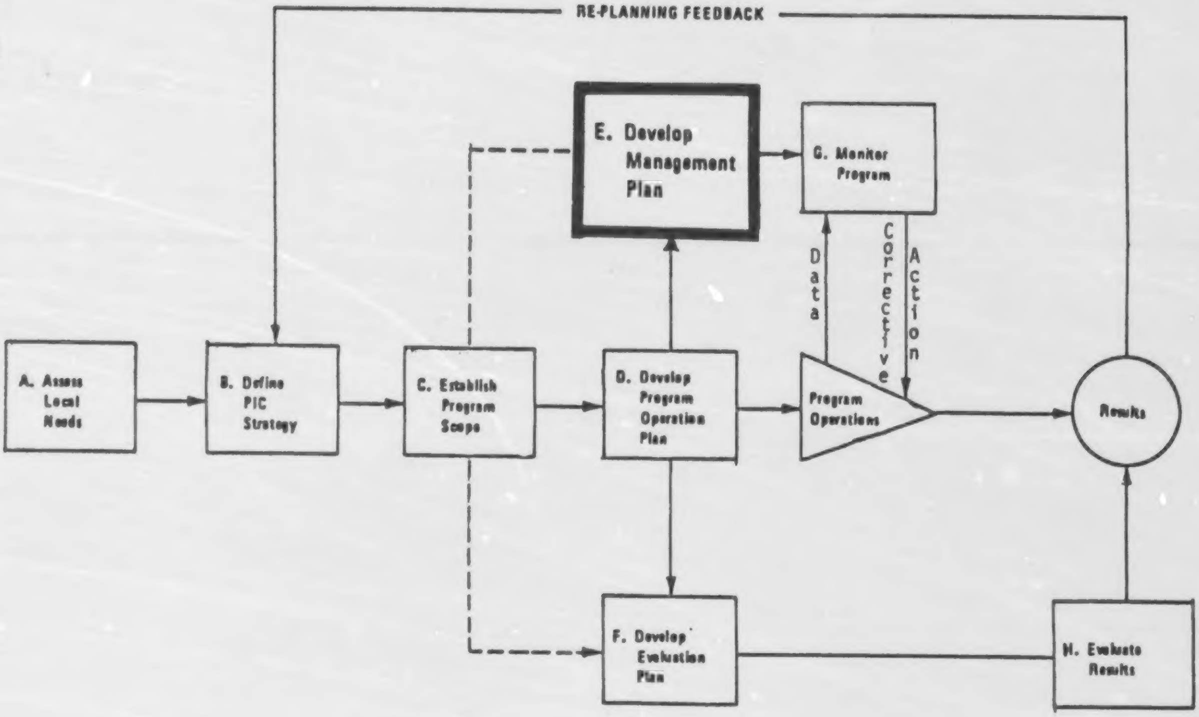
- PIC Program Delivery System
- PIC Projects
- PIC Management Plan and Procedures
- PIC Evaluation Plan and Procedures
- Budget Allocation and Accounting Procedures.

Once that plan is developed, your PIC Council should endorse it as a plan and program approach that all members can accept and support.

## Be Prepared to Replan

A final note on your Program Operation Plan is that although considerable time and effort goes into creating a plan which is as appropriate and responsive as possible to local needs, the plan is based upon factors, assumptions, and information at a given point in time. The world is not static. Changes in the economy, size and needs of target groups, and CETA funding levels, among other things, will cause the need for replanning. When this need arises, your PIC should do its replanning using the same process that you employed to develop its original operations plan.

## E. DEVELOP MANAGEMENT (MONITORING) PLAN


RE-PLANNING FEEDBACK
E. Develop Management Plan
G. Monitor Program
Data
Corrective Action
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
Program Operations
Results
F. Develop Evaluation Plan
H. Evaluate Results

Purpose: To establish a detailed plan for overseeing your PIC's program operations on an ongoing basis.

Steps:

1. Establish Management Review and Control Process
2. Determine Management Information and Reporting Needs
3. Design Management Reporting System

Outcome: A written description which clearly delineates your PIC's approach to management review and analysis of program operations and its procedures for reporting and utilization of management information.

Use: The Management Plan is used to direct, monitor, and control your PIC's program activities. It enables you to identify problematic areas and to take corrective actions as necessary.

## 1. Establish Management Review And Control Process

The purpose of this step is to establish specific responsibilities and steps for management review of your PIC's program. This involves:

- identifying your PIC's operational control process and the basic steps required to monitor and control program performance
- dividing responsibilities for management review and control among PIC members and staff.

The composition of the Council enables you to gain the insight of a variety of organizations, particularly business. It is important that the Council play a meaningful role in the management decisions so that its unique perspective can be an ongoing part of PIC activities.

### Basic Control Procedures

In order to determine your PIC's basic control procedures, you should ask the following questions:

- What information is absolutely essential for monitoring performance and managing the PIC's program?
- What are the sources of this information?
- How can this information be collected?
- What procedures are necessary for analyzing the information?
- When and in what manner should the information be reported?
- Who will review management reports?
- How will corrective actions be implemented?

Answering these questions will enable you to establish the basic framework for your PIC's management review and control process. It will allow you to decide:

- the amount and type of data and information that you need
- whether data can be retrieved through existing reporting systems or whether new forms will have to be devised
- how often you want to obtain data for management purposes
- the exact process for reviewing management data.

The PIC and the Prime Sponsor have overlapping interests with regard to management procedures, and you should discuss these early when you establish your framework.

To make the foregoing decisions you will need to know the extent and quality of the data collected by the Prime Sponsor and how that data is analyzed. The Prime Sponsor's regular system may be useful to you and you may want to share resources and relevant data. As another possibility, the Prime Sponsor might be able to provide assistance to you in structuring your monitoring system. The exact nature of your relationship to the Prime Sponsor in this area is a critical one to which your PIC should devote considerable attention.

## Management Review Responsibilities

After you have made your decisions regarding your operational review process and the relationship to the Prime Sponsor you will have the information necessary to determine basic management review responsibilities within the PIC. Questions you will need to answer in this area include:

- Who will have ultimate responsibility for administering the monitoring plan?
- Who will supervise monitoring?
- Who will prepare monitoring and management reports?
- Who will be involved in the analysis of monitoring reports and in the interpretation of findings?
- What will the Council's role be in the monitoring process?

The last question is particularly important. If your Council is to have an active and meaningful role in the management of the PIC's programs, it must be involved in monitoring the program throughout the year and participate in decisions concerning changes in direction.

## 2. Determine Management Information and Reporting Needs

The initial step in identifying the specific management information and reporting needs for your PIC is to review the objectives, plans, and standards for each project to determine precisely what needs to be measured and reported, on a regular basis, for management and monitoring purposes.

Not all PIC activities can or should be monitored. The most efficient method for defining reporting needs is to analyze each project against these criteria:

- What activities must be measured and reported by law?
- What activities, if measured, will give you reliable information on how the program is progressing?
- What activities should be monitored because they are
  - new,
  - experimental,
  - politically sensitive, or
  - expensive in terms of resource investment?

Based upon this analysis, you can determine what you should monitor.

## Specifying Information Needs

Once you have identified the areas in which you need to measure, the next step is to define for each objective or area to be measured:

- indicators of performance
- the information you will need in order to monitor
- the source of this information and the frequency with which you should collect it
- a checklist on information availability.

## Performance Indicators

Performance indicators are factors or items which your PIC can measure for monitoring purposes. They can be either quantitative or qualitative in nature, and apply to the PIC's total program, to components of the program (e.g., classroom training), or to particular projects (e.g., an EGS marketing activity).

Example indicators have been cited earlier under the "Establish Program Performance Standards" step. To repeat just a few:

> *General Indicators*: enrollment levels, expenditure levels, levels of service to target groups; number of businesses training or employing participants.
>
> *Participant Effectiveness Indicators*: positive termination rates, entered employment rates, costs per participant, cost per positive termination.
>
> *EGS Indicators*: response rate to local employer survey; number of jobs added as a result of economic development program; number of formal or informal planning agreements.

To establish your PIC's monitoring system, you need to determine which indicators are most appropriate and then to gather data regarding performance relative to them.

### Planned vs. Actual Performance

The most common form of assessment in the employment and training setting is a comparison of actual against planned performance to determine the degree to which standards or objectives are being met. While in the past, these comparisons have often been limited to quantitative assessment, assessment of qualitative measures is equally important (e.g., were anticipated deadlines met?). If you have selected the indicators that you feel are most important, then you have determined what to focus on for measurement purposes. The important consideration in this step is to select only those measures and to produce only that data which will be of immediate use in managing and directing your PIC's program on a day-to-day basis.

## 3. Design Management Reporting System

The last step under this heading is to design your PIC's management reporting system. The purpose of this step is to ensure a system which collects and reports only that information which is necessary for management purposes.

### Reporting Requirements

The Department of Labor has defined certain reporting requirements for your PIC. At this point, you have decided what additional data will be needed. Therefore, your responsibility is to design and develop those additional report forms which will be necessary for your internal control. In developing these forms, you should ensure that they:

- are easy to complete
- gather the information which is desired
- go to the appropriate people for completion.

For each report which is developed you need to specify:

- purpose
- contents
- source of data
- frequency
- distribution.

## Management Reporting Display and Assessment Formats

The data produced by your reporting system provides the raw data for the management assessment of your PIC. In order to be useful, however, that information has to be organized into meaningful formats and analyzed within the context of your PIC's Annual Plan. Two especially useful tools which your PIC can develop to permit such recording and analysis are management reporting display charts and management assessment reports.

- Management Reporting Display Charts: Management reporting display charts are created to permit recording and analysis of data at the program, component, and service deliverer or contractor level. They present data against those performance indicators which your PIC has determined to be most important through its process of program operations planning. They can be developed to allow an easy review of trends over time within one area, or to compare performance among projects. They also serve as an early detection mechanism for potential problems.

- Management Assessment Reports: Management assessment reports take the raw information on your display charts and through analysis converts it to a formal description on the status of your PIC's program, program components, and projects. Typical management assessment reports include:

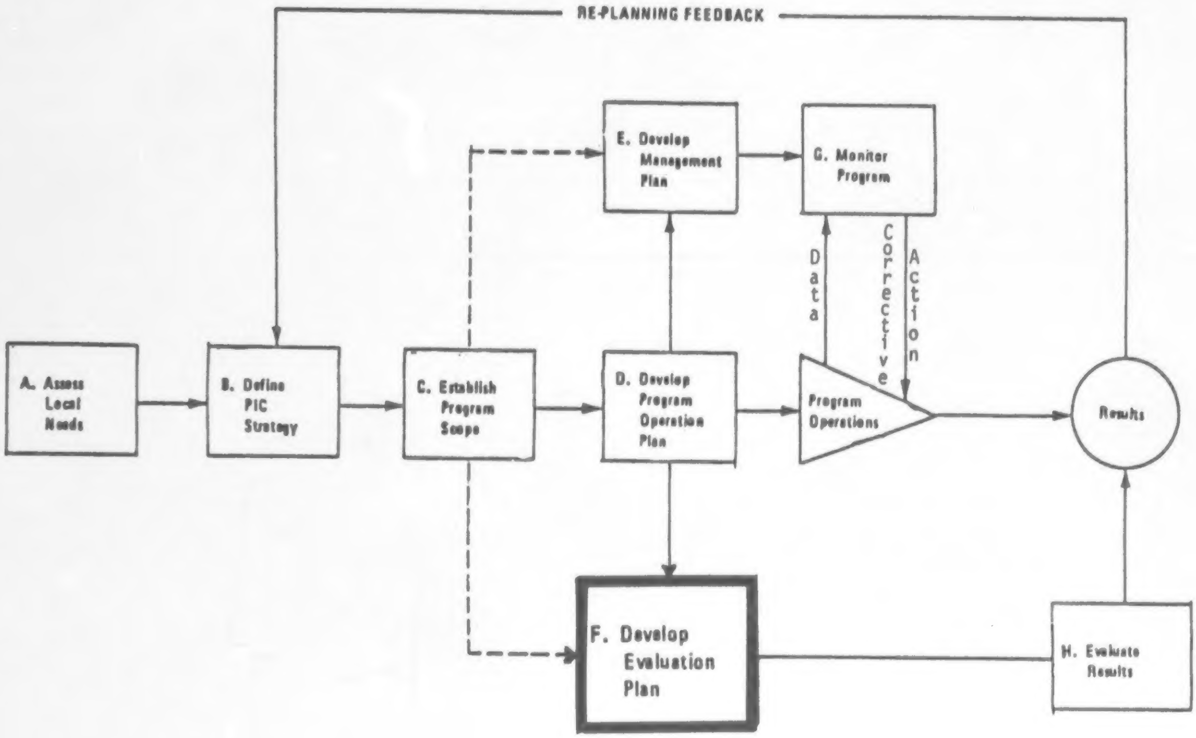
  - Descriptive Analysis of Overall Program Performance to Date
  - Component/Project Level Analysis of Performance to Date
  - Descriptive Analysis of Participant Characteristics
  - Assessment of Program Responsiveness to Identified Needs.

In general, the most useful management reports provide the following types of information:

- A description of the current status of the component/area being reported on
- Identification of performance that has deviated from plan
- Analysis of the current situation and analysis of the cause of deviations
- Identification of those areas that require corrective action
- Recommended actions.

Usually, Management Assessment Reports are prepared quarterly and annually to coincide with DOL required data. However, special circumstances at your PIC may indicate the need for more frequent reports and/or reports that provide analyses of information in addition to that required by DOL. As in the other areas of planning, management and evaluation, you should make the determination of what your particular local needs are and then design your reporting system to meet those needs.

## F. DEVELOP EVALUATION PLAN


RE-PLANNING FEEDBACK
E. Develop Management Plan
G. Monitor Program
Data
Corrective
Action
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
Program Operations
Results
F. Develop Evaluation Plan
H. Evaluate Results

Purpose: To establish a detailed plan and procedures for evaluating your PIC's program.

Steps:

1. Establish Scope and Nature of Evaluation
2. Assign Evaluation Responsibilities and Establish Procedures
3. Construct Evaluation Research Design
4. Create Research and Data Gathering Instruments

Outcomes:

An Evaluation Plan that will be:

- feasible in terms of manpower and cost;
- designed to measure the most significant projects and program areas;

- of value in future PIC planning and program operations.

Use: A sound, realistic Evaluation Plan can be used by your PIC to document the success or failure of its programs and to secure reliable information for replanning purposes.

## 1. Establish Scope and Nature of Evaluation

An evaluation is summary in nature. It provides the means, at the conclusion of an entire performance period, to assess the effect of your PIC's programs and activities. Your PIC's evaluation can serve a number of purposes including:

- identifying problems and deficiencies in current operations
- estimating the effectiveness of your program in achieving specified results
- comparing alternative strategies and tactics
- refining planning assumptions
- measuring gaps between planned outcomes and results.

Most importantly, evaluation data can provide feedback on your PIC's program planning, operations, and management. This data can be used to improve future

- programmatic performance
- organization and operations
- planning and management.

To make your evaluation most useful, it should be planned at the same time that your PIC's programs are being planned. In fact, your PIC's program operation plan, objectives, and performance standards represent the primary sources for determining precisely what to evaluate. The purpose of this step is to review that plan to identify the scope and nature of your evaluation.

There are three primary types of evaluation which your PIC can undertake:

Outcome: assessment of performance against standards set at beginning of performance period to determine degree of achievement.

Relative Effectiveness: comparative analysis of projects, tactics, service delivered, and/or program components to ascertain differential benefits and merits of each.

Impact: measurements to determine the extent to which the PIC's program has brought about institutional change and/or has accomplished its program goals.

## Outcome Evaluation

At a minimum, your PIC will want to evaluate outcomes against those performance standards which you set in developing your program operations plan. This evaluation can be done very easily by directly contrasting actual versus planned performance for each area in which you set performance standards.

As noted earlier, on the participant side of the ledger, much of the quantitative data you need to permit this type of assessment at the program level can be retrieved from three reports -- Program Status Summary, Summary of Participant Characteristics, and Financial Status Summary -- prepared quarterly and annually for the Department of Labor. You will need additional reports, however, to collect participant data at the component or service delivery level. It will be somewhat more difficult to obtain data in the EGS area. However, it is important to collect information in these areas, and if you have set performance standards then you can design a reporting system to collect the necessary data to tell you whether the standards were met.

An important point to remember is that not all of your PIC's projects or services can or should be evaluated. Given limited financial and labor resources, you should restrict your evaluation to those projects and program components which , in your opinion, are most demanding of assessment. In general, a project should be evaluated if it has any of the following characteristics:

- it is new
- it is ongoing and has never been assessed
- it is in an area in which a large investment of resources and manpower has been made
- it is experimental in intent and design.

## Relative Effectiveness Evaluation

Assessing the relative effectiveness of the component pieces and effects of your PIC's program is especially useful for replanning purposes. Data on relative effectiveness can help your PIC decide what to continue, to stop, to increase, and to decrease. Possible areas you can look at in assessing relative effectiveness include:

- similar programs (e.g., clerk typist) run by two different service deliverers
- different programs (e.g., truck driver and auto body repairman) using similar tactics (e.g., OJT)
- one program (e.g., direct placement) in terms of effectiveness in serving different client groups
- effectiveness of TJTC in increasing employer willingness to hire CETA eligibles as opposed to OJT or other incentives
- different tactics (e.g., OJT vs. classroom training) for the same occupation
- effectiveness of a strategy in serving different client groups
- value of marketing in identifying new jobs vs. value of economic development efforts.

Implementing evaluations of the relative effectiveness type would require more sophistication, additional data collection, and resources on the part of your PIC than strict outcome or result evaluation.

## Impact Evaluation

Impact evaluation would require the most sophisticated methodology and would undoubtedly be most difficult for your PIC to implement. Participant areas your PIC might want to look at in terms of impact include:

| | |
|---|---|
| • Earnings gain | (PIC participant group vs. comparison group) |
| • Private sector jobs secured | (PIC participant group vs. comparison group) |
| • Promotions obtained | (PIC OJT participants vs. comparison comparison group) |

Other possible areas which could be examined and questions which might be asked in terms of your PIC's impact include:

### Institutional Impact of Title VII

- Has the PIC stimulated new business participation in local employment and training efforts?
- Has the PIC stimulated new responsiveness on the part of "traditional" employment and training deliverers to the needs of business?
- Is there a comprehensive planning approach between PIC and the local Employment and Training Council?
- Has the PIC stimulated any areawide planning between different prime sponsorship areas and other PICs?

### Attitudinal Impact of Title VII

- How has the PIC program affected the attitudes of employers toward the program, toward employment and training programs in general, and toward eligible clients as potential employees?
- What impact has the PIC program had on the attitudes and motivations of participants?

### Patterns of Service

- What are the characteristics of the participants being served as compared to regular CETA clients, goals, and some statement of "universe of need"?
- What are the characteristics of the businesses being served? Where do they stand in the overall economic structure of the area?

### Cost

- What reasonable cost-benefit calculations can be made about some of the above impacts?

## The Evaluation Decision

Your PIC should decide what form(s) of evaluation to implement based upon its decision-making needs. As suggested, you should at least do an outcome evaluation in those areas which you consider to be of high priority for program success and in which you need information for replanning purposes. In addition, since PICs are often engaged in as many innovative efforts as possible, you should supplement this basic evaluation approach with relative effectiveness and/or impact evaluation measures so that the value of these efforts can be compared to more traditional approaches.

### 2. Assign Evaluation Responsibilities and Establish Procedures

Once you have decided on the scope and nature of your PIC's evaluation, the next step is to identify the basic tasks to be performed and assign responsibility for their performance. This involves:

- establishing procedures for an organized systematic approach to the evaluation
- determining the role of the Council
- selecting staff to administer the evaluation.

As in the development of your management (monitoring) plan, a basic consideration here must be the quality and scope of the Prime Sponsor's evaluation system. If that system is adequate, you should probably interface with it and rely on it to collect and array the data, and generate the reports that you need for evaluation purposes. This will reduce the level of staff effort that you have to put into the evaluation process.

If, on the other hand, you find that the Prime Sponsor's system is inadequate for your PIC's needs, then you will have to expand your responsibilities accordingly. Because of the uniqueness of many of the PIC activities, particularly EGS, it is probable that you will need to supplement the Prime Sponsor's regular evaluation system to assess these activities.

## Evaluation Review Process

The next task which your PIC should accomplish within this step is to establish the basic operating procedures and working arrangements for administration of your evaluation efforts. These items should be specified at the outset of your evaluation planning. General questions to be answered include:

- Who will have ultimate responsibility for administering the evaluation program?
- Who will supervise the evaluator(s)?
- What procedures will be devised for the systematic review of evaluation plans, methodologies, data, and findings?
- Who will be involved in the analysis of evaluation reports and in the interpretation of findings?
- What steps will be instituted to ensure that deadlines are observed?

## Evaluation Personnel

In order to determine who should be responsible for your PIC's evaluation, you should answer the following questions:

- How much enphasis will be placed on evaluation at your PIC?
- What resources will be made available to implement your evaluation plan?
- Do any current staff members or Prime Sponsor staff have the capability (or the time) to perform evaluation research?
- Would it make more sense to hire a full-time evaluation specialist or employ private contractors on an ad hoc basis?
- Is an outside evaluator necessary to ensure an objective perspective?

## Council Role

Regardless of how your evaluation is done - by staff, the Prime Sponsor, or an outside individual - it is important that your Council play an active role in the administration of evaluation activities. Possible options include:

- appointing a subcommittee of the Council to review and monitor all evaluation activities
- having the evaluator(s) report to the Director, who periodically apprises the Council regarding the evaluation program and its progress.

Whatever the role settled upon for your PIC, you should begin planning for your evaluation by clarifying roles and responsibilities and determining the basic procedures related to the administration of the evaluation.

### 3. Construct Evaluation Research Design

The next step after determining the scope and nature of your evaluation is to construct your PIC's evaluation research design. An evaluation research design is a formal written statement of the detailed plan for implementing your PIC's evaluation.

#### Evaluation Research Questions

To prepare your PIC's evaluation research design, you should ask yourself the following questions:

- Why is the PIC's program being evaluated?
- What are the key objectives the PIC hopes to accomplish?
- What are the primary and secondary objectives (standards) of the program?
- Which of these objectives (standards) are stated in readily measurable terms?
- What are the activities that need to be well understood due to factors such as the level of funding they require, innovativeness, etc?
- What resources are available to evaluate the program?

- How much time is permitted for the evaluation?
- What data and other information is needed?
- Where does this data exist or where can it be requested?
- How can this information be obtained (e.g., numerical reports, narrative reports on objectives, surveys)?
- How will this information be analyzed?
- How will the findings be used?
- What format will be required for their presentation?

The answers to these questions will structure the format of your evaluation. This format should be presented in your design plan.

## Evaluation Research Design Plan

Your PIC's formal plan for its evaluation should consist of the following sections:

Statement of Purpose: states the reasons why the study is being undertaken. Incorporates a brief description of the program and its goals.

Objectives: specifies objectives and scope for the evaluation.

Methodology: the heart of the research design, states exactly how the evaluation will be performed. Details:

- data that will be needed;
- techniques of data collection; and
- means of data aggregation and analysis.

Instruments: describes the types of instruments and worksheets needed to collect and treat the data and discusses the process by which they will be developed.

Schedule: sets out a timetable to govern the progress of the evaluation. Highlights all deadlines and due dates.

Reports: indicates the types of reports that will result from the evaluation, including their content, format, and submission dates.

## 4. Create Research and Data Gathering Instruments

The purpose of this step is to develop all research and data gathering instruments necessary to implement your PIC's evaluation plan.

### Baseline Data Worksheets

If your PIC restricts its evaluation to the outcome area, most of the data you need will be easily retrievable, either through required reports generated for the Department of Labor or your PIC's internal management reporting system. Therefore, the primary data gathering instruments you will have to create are baseline data worksheets. These worksheets are used to summarize performance against plan or standards. A simplified version of a baseline data worksheet is presented below.

| Project/ Area | Indicator | Standard or Plan | Actual Performance | % of Variance |
|---|---|---|---|---|
| | | | | |

### Other Data Gathering Tools

If, on the other hand, your PIC broadens the scope of its evaluation, there are two commonly used instruments you might choose to employ:

> Survey Questionnaire - an instrument designed to capture opinions or attitudes regarding aspects of your PIC's program. The questionnaire may consist of forced-choice questions; scaled items; or some other form of quantifiable responses.
>
> Interview Guide - a format which provides a sequenced and comprehensive list of open-ended questions to ask in a personal interview.

## Developing Research Instruments

These instruments should be designed to capture as much data as possible in the simplest and most efficient manner. In constructing them, you should take the following factors into account:

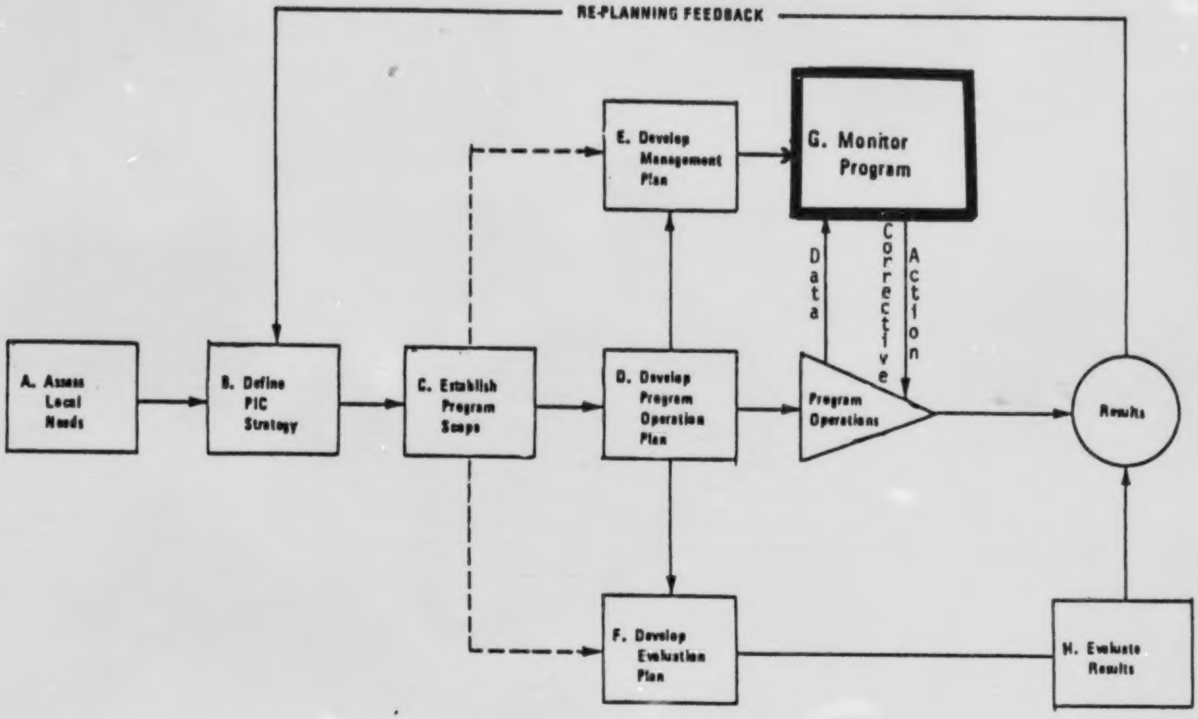
- restrict the data collection effort to that information required to achieve the objectives of the evaluation
- ensure that your instrument is comprehensive enough in scope to answer all questions which are important to your evaluation effort
- make the wording of items simple and nontechnical so that they can be easily interpreted by respondents
- if technical terms must be used, define them so that they can be understood uniformly by both the respondent and the data collector
- design the instruments so that they are streamlined in format and easy to use.

In addition, the instruments should be pretested prior to their use in the evaluation. This will:

- ensure a uniform understanding of instructions, items, and response categories;
- confirm whether or not the desired information can be acquired;
- provide an index of the time required for the instrument's use;
- provide a perspective on the advisability of including any "sensitive" or controversial items; and
- provide an informed opinion regarding the format and appearance of the instrument as well as of the sequencing of the items on the questionnaire.

Adhering to these criteria will greatly enhance the utility of any special evaluation research instruments that your PIC has to create.

# G. MONITOR PROGRAM


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

**Purpose:** To assess and redirect program activities as necessary.

**Steps:**

1. Analyze Planned versus Actual Performance
2. Prepare Corrective Action Plans
3. Monitor Corrective Actions

**Outcomes:**

Monitoring reports which:

- document the PIC's progress/performance according to plan
- identify problem areas which demand corrective action.

Corrective action plans to be implemented in order to solve operational problems.

Use: Your PIC's program monitoring plan is its "early warning" system. It allows you to assess program performance on an ongoing basis, and to change courses or methods in response to problems. In addition, it provides information for program evaluation.

## 1. Analyze Planned versus Actual Performance

As discussed earlier, the primary means to monitor your PIC's performance is by measuring the relationship between planned and actual performance. The purpose of this monitoring is to assess program and project activities on an ongoing basis so that:

- problems may be detected as soon as they emerge
- sources of problems may be isolated
- remedial action may be instituted while the program or project is still in progress.

Your PIC's management reporting system will provide the basic information needed to review performance against plan. By arraying this information on your management reporting display charts, you will be able to identify areas in which there may be problems.

To facilitate your review of this information, you should establish in advance a control limit. A control limit is a prespecified range of tolerable variation from planned levels or scheduled activities within which significant follow-up monitoring or corrective action efforts will not be taken. Control limits enable your PIC to restrict its corrective monitoring to those areas which are critical.

## 2. Initiate Corrective Monitoring

Your analysis of performance against plan will enable you to pinpoint areas in which there may be a problem. However, your review of report data will not indicate what the source of that problem is. Therefore, if you discover a significant deviation from plan, you should initiate a more in-depth inquiry. Appropriate techniques include:

- on-site monitoring - when data must be collected from participant or contractor files, or when more qualitative information is desired

- interviews - with participants, employers, or contractor staff to collect data which cannot be obtained from standard sources.

By doing this follow-up in problem areas, you can determine whether corrective action is necessary and secure the essential information for preparing a corrective action plan.

To ensure that your PIC does an effective job of follow-up or corrective monitoring, you should establish a definite procedure for doing corrective monitoring. Some hints on implementing an effective corrective monitoring process include:

- manage by exception: concentrate on those areas which appear most problematic

- be systematic: in advance of your visit develop all questions that you want to ask

- talk to the project operator first: before initiating a visit contact the project operator to find out if there might be a simple explanation for the performance deviation

- pursue a "no surprise" policy: outline the steps that you intend to follow, communicate them to the project operator, adhere to them, and maintain communication with the project operator throughout the review process

- avoid unnecessary disruptions to project operations: try to schedule your visit(s) so that they "fit" best with the normal routine and operations of the project

- remember - the plan could be wrong: reassess the validity of your planning assumptions and standards as an integral part of every corrective monitoring visit.

### 3. Ensure Necessary Corrective Action

There are two essential ingredients to ensuring necessary corrective actions in those areas in which significant deficiencies are found through corrective monitoring. They are (1) develop corrective action plans, and (2) monitor the implementation of those plans.

Your corrective action plans should be developed to address directly the specific deficiencies in each area of program operation isolated through performance analysis. These plans should specify the:

- problem and its source
- extent of its deviation from plan
- criteria required for improvement
- remedial steps to be taken
- time frame for improvement
- assignment of responsibility for action.

You should normally develop corrective action plans following the quarterly review and analysis of program performance. While performance data are generally monitored and analyzed on a monthly basis, it is more useful to withhold corrective action plans until more time has elapsed. Preparing corrective action plans on a quarterly basis:

- dilutes the influence of any isolated monthly aberrations

- provides a more comprehensive and representative data base from which to initiate action

- allows you to take a more thoughtful, analytical approach to problem remediation.

Corrective action plans should be negotiated with and approved by PIC management and appropriate contractor or project staff. The chief criterion that you should employ in developing those plans is that they remain consistent with overall PIC program goals, objectives, and standards.

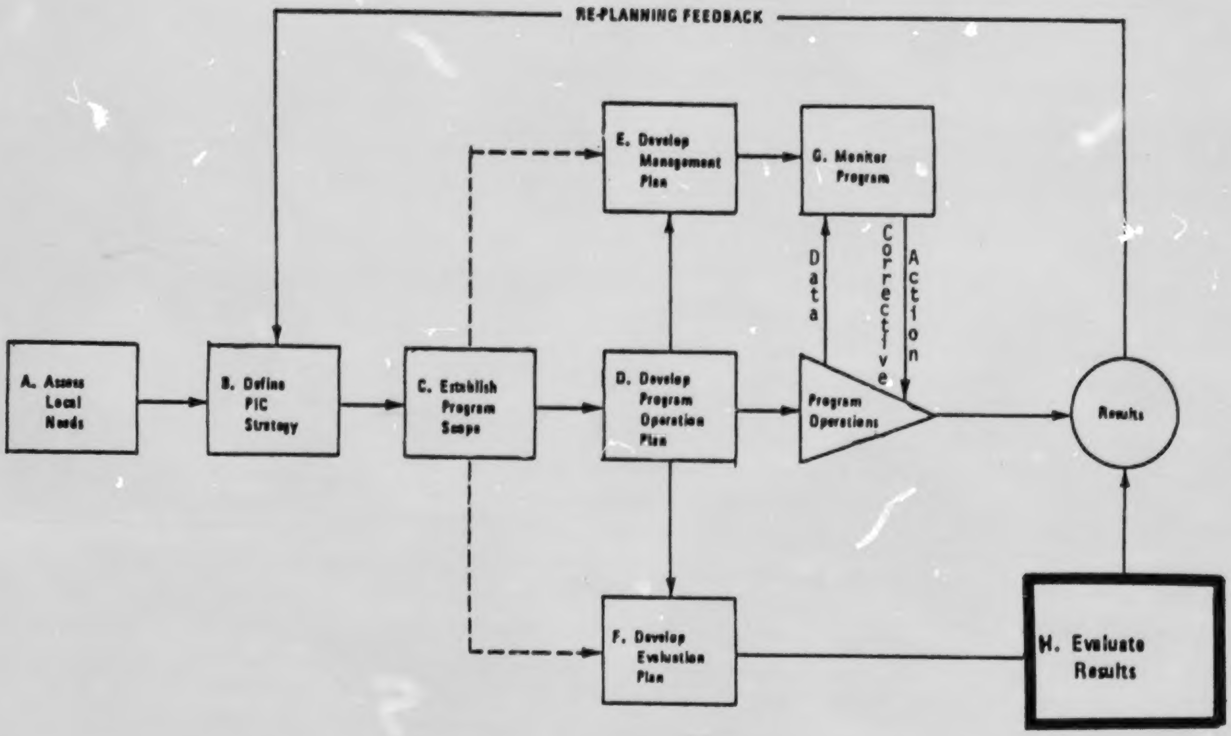
Corrective action plans must be carried out effectively and on schedule if they are to redirect and improve program operations. Therefore, you should establish a special monitoring system to provide you with feedback on the status of the corrective action plan implementation. Such a system involves specifying the:

- - type of information needed
- - schedule for implementation
- - responsibilities for action.

The format is set up so that follow-up results can be noted month by month within the quarter, until all three months' activities are noted, providing some indication of progress during the quarter.

Your PIC's ability to monitor program and project progress and to redirect efforts as necessary, will contribute significantly to the ultimate success of your PSIP.

# H. EVALUATE RESULTS


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
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G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

**Purpose:** To assess the effects and outcomes of the PIC's program.

**Steps:**

1. Collect Data
2. Analyze Data
3. Feedback Into Planning Process

**Outcomes:**

Evaluation findings which:

- document the PIC's performance against locally established standards
- identify factors which contribute to or inhibit the success of the program
- substantiate the cost-effectiveness of the program and its components
- result in a clarification and reexamination of program objectives and assumptions

- isolate the need for and nature of any corrective action necessary to enhance program performance.

Use: The evaluation findings are the primary input for planning your PIC's program for the following year. Your PIC should use its evaluation results to reassess planning assumptions and program design principles, to determine project and service deliverer effectiveness, to pinpoint areas to change, and to begin to develop an evaluation plan for next year.

## 1. Collect Data

The purpose of this step is to collect all data which is necessary for evaluation of your PIC's program. Your evaluation research design will specify the data gathering methodologies. The most common data collection techniques are discussed briefly below.

### Baseline Data Collection

Your PIC's internal management reporting system and reports prepared for the Department of Labor can be used to secure baseline data on:

- participant characteristics
- types of services provided
- placement data
- expenditure information
- applicant records
- participant tracking
- product development and activity accomplishment
- observations and monitoring reports.

These baseline data should be collected on an ongoing basis for projects that are to be evaluated. In this way, they:

- can provide leading indicators in advance of the summary evaluation undertaken at the conclusion of the program

- will not become a time-consuming task for the evaluator(s) once the formal evaluation gets underway.

### Survey Research

Survey research is a reliable method of generating data pertaining to respondent attitudes and opinions regarding your PIC's performance. It can be a useful means for evaluating both participant and EGS activities. Surveys can ascertain respondent views on any subject with which they can reasonably be expected to be familiar.

The first consideration for your PIC in conducting survey research is designating the sample to be surveyed. When the sample has been selected and the questionnaire created, tested, and refined, your survey is ready for implementation. A survey may be administered in several ways:

- by mail
- by telephone
- in person
- individually or in a group.

A survey may also be either anonymous or identifiable.

How you conduct a survey will be dictated by two primary concerns:

- the extent of available resources, and
- the need for a high response or rate of questionnaire completion.

In most surveys, there will not be a 100% response rate. Anticipating that some individuals will not return a completed questionnaire, you must "oversample" to obtain the required number of responses.

## Individual Interviews

Individual interviews are another means of obtaining evaluative data regarding PIC performance. These interviews could be especially useful in securing information on the EGS facets of your program. They provide the opportunity for amplification of the respondent's views. A few guidelines your PIC should follow to enhance the prospect of a successful personal interview include:

- Interviews should be scheduled at the site where the respondent feels comfortable
- No interview should require more than one hour
- The interviewer should have full recall of the contents of the interview guide and be as familiar as possible with the subject matter

- The interviewer should ask follow-up questions that may be triggered by a particular answer
- The interviewer should seek confirmation at frequent intervals during the interview by restating his or her understanding of particular responses
- The interviewer should prepare a formal narrative based on his or her notes soon after the interview has been completed.

## Group Interviews

As an alternative to a series of individual interviews, a group interview is an inexpensive and effective method which your PIC could employ to collect a substantial amount of data. The basic requirements for a group interview are:

- the prospective respondents must be roughly equivalent in terms of their knowledge of the subject matter
- the respondents must be willing to participate openly in a group interview.

With regard to the first requirement, the respondents must be individuals who, for example, participated in the same training program or who were placed in similar jobs. For purposes of the evaluation, in other words, they must share the same principal characteristics. The second requirement refers to the fact that the participants must understand the nature of the group interview setting and be ready to express their opinions candidly in the presence of others.

A group interview proceeds in the following manner:

- the assembled participants receive an orientation to the process
- interview guides are distributed to all participants
- the guides are completed independently by the respondents

- each individual then reports his or her perceptions, as noted on the interview guide, to the entire group

- all responses are recorded on newsprint by the facilitator

- there is then a group discussion to clarify, combine, and supplement the data.

The product of this process is a large body of consensual data for every item on the interview guide.

## Follow-Up Studies

Follow-up studies are a specialized version of a survey or interview. They are highly useful means of assessing a project's or your PIC's impact after a participant has completed the program, or an ECS project has ended. Such studies can determine whether or not a program had a continuing effect on the participants or built desired linkages with employers or other organizations.

Follow-up studies are best conducted using some form of survey -- either by mail or telephone. Preparation for a follow-up study includes:

- determining who is to be interviewed or surveyed (e.g., participants, employers, etc.)
- identifying the information needed
- developing and pretesting questionnaires or interview guides
- selecting a sample.

The data are then collected, analyzed, and reported.

## 2. Analyze Data

Data analysis, or data treatment as it is sometimes called, is the art of viewing data from a variety of perspectives in order to understand and interpret it. Data analysis involves:

- reviewing the research findings for correlations, trends, commonalities, and disparities
- documenting the relationship between the findings and the evaluation objectives
- developing rationales or speculations for findings whose explanations are not self-evident.

There are four basic types of analysis that may be useful in evaluating your PIC's programs:

Cost-effectiveness: quantitative index of performance that relates various program results to cost.

Cause and Effect Analysis: weighs all variables to demonstrate a causal relationship between two or more factors.

Comparative Analysis: focuses on relative achievements of two or more groups, units.

Trend Analysis: documents changes in levels of achievement over time.

As these types of analyses indicate, data analysis is much more than a mere review of numbers. It is, rather, a systematic attempt to derive meaning from and make informed judgments about the nature of the program being researched. Regardless of the form of analysis your PIC is employing, you should attempt to answer the basic questions:

- Were the PIC's or the project's objectives achieved?

- What caused the effects discovered in the evaluation?
- Should the components, programs, or activities be continued, changed or terminated?

### 3. Feedback Into Planning Process

Once your PIC has analyzed its evaluation data, the last tasks in the evaluation process are:

- to prepare an evaluation report which presents the results of the analysis
- to utilize that report to log in the review of program performance and to plan for the upcoming year.

#### Evaluation Report

Your PIC should present its evaluation findings in an evaluation report. The degree of formality and sophistication of that report is obviously a matter of local preference. However, since the evaluation report is the official record of the evaluation, making public your activities and findings, it should be carefully prepared. The basic sections which should be incorporated in the report, regardless of its length or format are:

Introduction - to the program and the evaluation
Objectives - of the evaluation
Methodology - designed to conduct the evaluation
Findings - based on the data collection and analysis
Recommendations/Conclusions - based on the findings
Executive Summary - briefly explains the objectives of the evaluation and highlights the key findings.

#### Assessment and Replanning

Your PIC should use its evaluation report and findings to:

- reassess planning assumptions and program design principles

- determine project and service deliverer effectiveness
- pinpoint areas for change
- begin to develop its evaluation plan for next year.

The evaluation results will aid in determining if a particular project should be continued, changed, or terminated. Evaluation of a number of projects will permit comparisons of each to determine which activities are most effective and cost-efficient. The results will also provide a perspective from which to assess the appropriateness of the PIC's performance standards. In summary, your PIC should employ its evaluation findings judiciously to develop an improved PIC program operations plan for next year.

# YOUR PIC'S PME PROCESS - SELF-ASSESSMENT

Before proceeding to the next section on how to apply the PME Process, it may be useful to once again reassess your PIC's present PME approach. To do this, complete the detailed checklist which follows.

Use your ratings of individual items to focus your reading of Section III.

Private Industry Council

## PLANNING, MANAGEMENT AND EVALUATION APPROACH

### SELF-ASSESSMENT

Please respond to the following questions candidly. Circle the number which best reflects your opinion regarding each item.

| | |
|---|---|
| 1. Are the purposes, goals, and role of the PIC clearly defined? | 1 2 3 4 5<br>Not clear — Very clear |
| 2. Is the division of PME roles and responsibilities among PIC staff and members clear? | 1 2 3 4 5<br>Not clear — Very clear |
| 3. Are the PME roles of the PIC and Prime Sponsor clear? | 1 2 3 4 5<br>Not clear — Very clear |
| 4. Does the PIC have a well-defined process for developing its annual service plan? | 1 2 3 4 5<br>Not Well-Defined — Well-Defined |
| 5. Does the PIC have a systematic way of obtaining local labor market information? | 1 2 3 4 5<br>Not systematic — Systematic |
| 6. Does the PIC have a standardized or objective method for reaching decisions on what activities to undertake? | 1 2 3 4 5<br>Not standardized — Standardized |
| 7. Does the PIC establish measureable objectives and standards for all activities which it undertakes? | 1 2 3 4 5<br>Never — Always |

8. Does the PIC develop detailed work or implementation plans for all activities and facets of operation?

1 2 3 4 5
Never Always

9. Does the PIC have a systematic way of collecting data for program management and monitoring purposes?

1 2 3 4 5
Not systematic Systematic

10. Is the management system designed to include indicators which can be used to identify areas of performance shortfall for all activities?

1 2 3 4 5
Not at all Completely

11. Are all management reports easy to read and generated on a regular basis?

1 2 3 4 5
No Yes

12. Does the PIC regularly monitor and review program performance?

1 2 3 4 5
No Yes

13. Are management reports used to take corrective action and to change program direction when necessary?

1 2 3 4 5
Never Always

14. Does the PIC have a systematic and valid plan for evaluating the effectiveness of each activity and its total program?

1 2 3 4 5
Not at all Completely

15. Does the PIC have a way of differentiating the relative effectiveness of its service deliverers?

1 2 3 4 5
No Yes

16. Does the PIC use performance and evaluation results in its replanning efforts?

1 2 3 4 5
Never Always

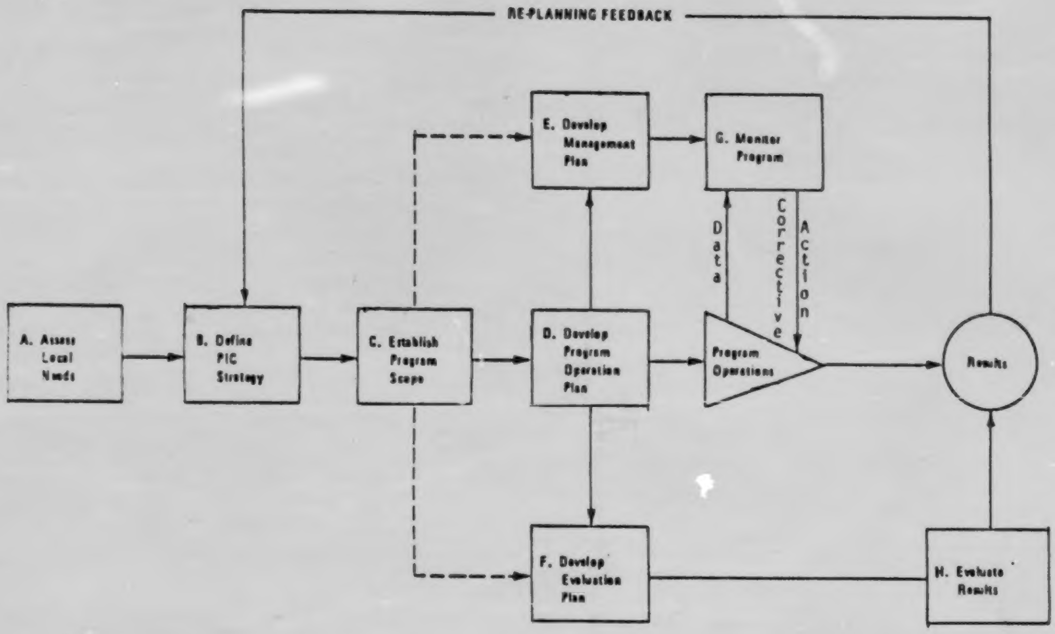
PLANNING MANAGEMENT
AND EVALUATION APPROACH

TOTAL SCORE

## III. APPLYING THE PME PROCESS

This section of the Guide describes "how" you can implement the steps in the PME Process. The steps are organized according to the flow of the PME Process and presented by the stages outlined in the preceding section.

PIC PME PROCESS – FLOW CHART


RE-PLANNING FEEDBACK
A. Assess Local Needs
B. Define PIC Strategy
C. Establish Program Scope
D. Develop Program Operation Plan
E. Develop Management Plan
F. Develop Evaluation Plan
G. Monitor Program
Data
Corrective Action
Program Operations
Results
H. Evaluate Results

### PME Stages

Each stage is introduced, as shown on the following page, by a brief statement of the purpose for the stage and a listing of the steps within the stage.

SAMPLE

STAGE A: ASSESS LOCAL NEEDS

Purpose: To determine the current employment and training needs within your community.

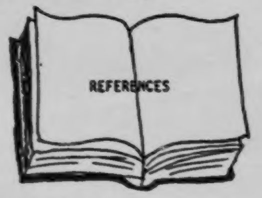
Steps

1. Analyze Local Labor Market Conditions and Business Needs
2. Analyze Local Population Groups and Service Needs
3. Review Programs and Plans of Other Agencies/Service Deliverers/Businesses

PME Steps

Then, for each step listed, information is presented as follows:

1. Introductory page which explains step, defines "key concepts," and allows you to assess your PIC's present knowledge and capabilities with reference to the step (see example on following page).
2. Discussion pages which provide relevant content and outline actions to take in applying the step.
3. At the conclusion of each step, references, introduced by the following symbol,



which may facilitate your implementation of the step.

**Step**

Explanation of step and statement of its purpose.

**Key Concepts**

Definition of concepts, knowledge of which is central to implementing the step successfully.

**Knowledge/Capabilities Rating**

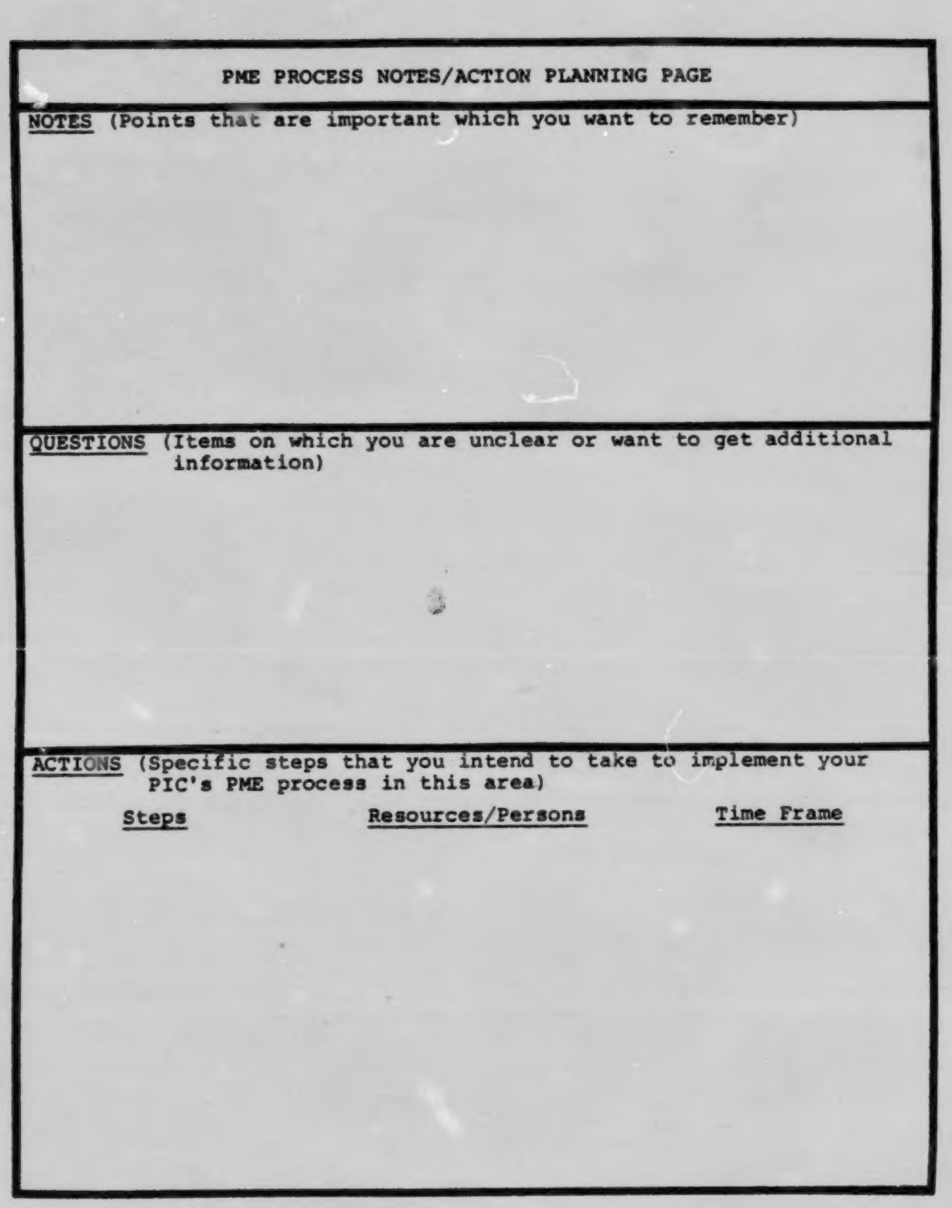
Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

The introductory page--specifically the knowledge and capabilities rating section--has been developed to enable you to expedite your reading of the material in this section of the Guide. By assessing your need to know and to improve on each step, you can determine whether, or how much attention and time you have to devote to reviewing the information pertaining to that step.

In addition, the back of each introductory page has been designed so that you can take notes and plan actions that your PIC might take to implement the step (see layout below).



PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## A. ASSESS LOCAL NEEDS

**Purpose:** To determine the current employment and training needs within your community.

**Steps**

1. Analyze Local Labor Market Conditions and Business Needs
2. Analyze Local Population Groups and Service Needs
3. Review Programs and Plans of Other Agencies/Service Deliverers/Businesses

**Step 1**

## Analyze Local Labor Market Conditions

The purpose of this step is to use labor market information to (1) identify potential job opportunities within the local community which are appropriate for CETA participants; and (2) pinpoint the specific needs of local businesses and industries so that your PIC can develop a plan based upon these factors. This step consists of analyzing the current and projected nature of the local labor market. Data to be reviewed include employment trends in terms of labor force participation; growth potential by industry and occupation; and the skill requirements necessary for job success in various occupations.

**Key Concepts**

- Existing Labor Market Information: Data produced primarily by the LMI division of your State Employment Security Agency (SESA) which can be used to analyze local labor or market conditions.
- Labor Market Analysis: Standard procedures to be used to analyze local labor market in order to draw valid conclusions regarding local needs.
- Employer Surveys: Local surveys which a PIC can initiate in order to obtain additional information regarding the characteristics of the labor market and the needs of employers.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

Labor market information (LMI) is data on the labor force, occupations, and job openings and hiring procedures within your local community. You should use this information - especially that on job opportunities - to help determine the overall structure and content of your PIC's PSIP and to help meet the business needs in your community. In this regard, you can use LMI for a variety of purposes, including:

- selecting target jobs for training programs
- designing customized training programs to satisfy locally defined criteria
- identifying obstacles and barriers which inhibit the effectiveness of employment and training programs so that these impediments can be eliminated
- determining services (e.g., employment development, world of work orientation, recruitment) which can be provided through the PIC to meet local employer needs
- instituting other special programs to improve the relationship between private sector employers and your PIC's program.

You can take one of two approaches to labor market analysis. You can rely solely on existing data sources (i.e., that furnished by the Labor Market Information Division of your State Employment Security Agency (SESA), the Prime Sponsor, and other governmental agencies). Or, you can complement the available data with a local employer survey of your own. Regardless of the approach your PIC chooses, by bringing the private sector perspective to bear in the analysis, you can enhance the utility of labor market information both in your PIC's program and in the CETA program in general.

### Existing LMI

Existing data sources will probably be sufficient to help you determine general trends and answer many basic questions regarding local

- labor force participation
- growth potential by industry and occupation
- salary range and quality of occupations
- skill requirements necessary for job success in various occupations.

However, existing data may be inadequate to answer the questions you feel are most important regarding the local labor market.

Local Employer Surveys

Local employer surveys enable you to determine a number of additional things regarding the local labor market, including:

- nature and structure of the internal labor market (job composition and entry level occupations) of local firms
- number and occupational characteristics of existing job vacancies in local labor markets
- hiring practices and policies of local firms
- hourly and/or weekly wages and annual earnings of workers in specific occupations
- training and promotional policies of local firms
- employer attitudes toward existing employment and training programs funded by the local CETA prime sponsor and other local employment and training agencies.

Your choice of how to do labor market analysis will be determined by:

- the adequacy and accuracy of the data available to you
- the purpose you want to achieve with your analysis
- the decisions you want to be able to make.

Since local employer surveys are time-consuming and require considerable knowledge and expertise for their proper implementation, you should carefully review your data before initiating one.

The remainder of this section provides information on:

- how you can secure and use existing LMI; and
- the considerations to be taken into account in deciding upon and implementing your own local employer survey.

## A. EMPLOYING EXISTING LMI

Your first step toward doing a Labor Market analysis should be to obtain all existing data and information.

### Where to Get LMI

Within the U.S. Department of Labor, the LMI network consists primarily of an interagency working arrangement between the Employment and Training Administration (ETA), the Bureau of Labor Statistics (BLS), and each State Employment Security Agency (SESA).

ETA plays a major role in planning and funding LMI activities. The SESA LMI division has the responsibility for development and dissemination of LMI. The BLS provides the technical support and guidance to carry out cooperative statistical programs (employment, unemployment, occupational projections, labor turnover statistics, and employment and wages in firms covered by the unemployment insurance program).

Your PIC should begin its search for LMI by contacting your Prime Sponsor to get all available data and then contacting the LMI Division of your SESA. Most SESAs have LMI analysts in the state office and in each district office. Both can provide LMI as well as other assistance.

As your first order of business, you should request an LMI Directory or Bibliography of Sources in order to become familiar with the variety of available documents. The SESA analysts can also guide you to specialized data or information available from other sources. Since data are available from many sources, the SESA analysts, as both experienced data producers and users, and because of their proximity to your PIC, can often provide not only the data but also valuable suggestions on what data to get and how to analyze and interpret the LMI. For these reasons, if your PIC's data needs go beyond the scope and resources of your SESA's existing LMI program, you might consider providing additional funding to your SESA's LMI division for specialized research and data development.

You should not, however, restrict your search for existing data to the SESA. You should also contact the LMI specialists in ETA's Regional Office and the staff in the BLS Regional Office. Within the DOL network, there may be specialized data or new programs of which the SESA analysts are unaware. The ETA and BLS regional offices have access to these recent developments and can provide data to complement the existing SESA information. Finally, you should also contact your State Occupational Information Coordinating Committee. The SOICC is responsible for coordinating the development of occupational information and can guide you to other potential sources of relevant data.

## How to Use Existing Data

How should your PIC use existing LMI data once you secure it? Existing data is probably best suited for identifying potential job openings within the local community. To identify more openings in a sound manner, you should know the principles underlying the use of and the general process for using LMI data. Then, you should be able to apply these principles and the process in a step-by-step fashion to your local situation.

### 1. Principles and Process of LMI

The basic principle underlying the use of LMI is that job openings can be expected to be greatest among those key industries and occupations within the local community which are experiencing large growth and replacement needs. Concepts which you should understand that are central here include:

- industries/businesses and employers within the local community

- occupations/various job categories within those industries
- job openings/vacancies within specific occupations
- employment growth/net additions to the number of workers needed
- replacement needs/openings caused by workers leaving jobs.

The general process for using these concepts to identify potential job openings within your local community is as follows:

- Identify specific industries within your community which you think might have a potential for job openings.
- Identify specific occupations associated with those industries.
- Use growth and replacement need data to pinpoint specific industries and occupations in which job openings seem most likely.
- For each potential occupation, measure job quality and placement potential by using available LMI on training and education requirements, expected wage rates, and supply of workers which might possibly compete for job openings.
- After you have identified specific suitable occupations with potential openings, you contact local employers in order to verify that opportunities do exist.

## 2. Steps in Labor Market Analysis

A more detailed explanation of the steps your PIC should take to use local data in identifying job openings follows.

### a. Identify the geographic labor market

The initial step in the job identification process involves identifying the geographic jurisdiction of your PIC's local labor market. The area of immediate interest may be your Prime

Sponsor jurisdiction. However, you should not make your focus too narrow. You should attempt to look at job opportunities fully within the context of the geography for economic activity that generates employment - that context may be a geographic area somewhat different from your Prime Sponsor's jurisdiction.

In identifying your PIC's geographic labor market, you should consider the Labor Market Area (LMA) and the Standard Metropolitan Statistical Area (SMSA). These two areas are based upon concepts of economic activity rather than political boundaries. Thus, there are logical geographic building blocks for labor market analysis. Both the LMA and SMSA are defined by the relationship between place of residence and place of work of the labor force. The primary consideration in their definition is the ability of labor to accept new jobs without the necessity of changing residences or incurring unreasonable commuting distances.

To avoid fragmented, incomplete interpretations of job activity, as a rule, your analysis should first be conducted at the LMA or SMSA geographic level. Then you should reduce your focus to your local area. If you are uncertain about what your PIC's geographic labor market should be, then contact the local SESA analyst or LMI Specialist who can provide assistance in determining an adequate geographic jurisdiction for analysis.

b. Identify the industry structure of employment

Having identified the geographic area for analysis, your next step is to become familiar with the industrial composition of the area, the employment levels among industries, and the employers among industries. The size of an industry and the number of employers within an industry can serve as an initial guide to key industries.

For example, because of labor turnover and worker separations, openings will occur among several industries. If separation rates are uniformly low or assumed to be at a minimal level, the largest number of openings should occur within the largest industrial categories. Stated simply, most of the job openings will occur where most of the jobs are located. Because of the volume of employment in large industries, separations will create a large number of openings. From that view, large industries or industries with large establishments might be considered key leading industries.

From a second perspective, however, your PIC should understand that, in certain instances, smaller firms generate more new jobs. This is highly dependent upon the structure and nature of the local economy. Therefore, your PIC should also closely examine the local industrial structure to identify industries concentrated with several small firms to identify potential leading industries. This is especially important given your PIC's mandate to secure greater involvement of small businesses in solving employment and training problems.

A variety of available LMI can be used to analyze industrial structure. These sources include the data from Employment, Wages and Contributions of Employers Covered by Unemployment Insurance (ES-202), 790 or Current Employment Statistics data, or information from County Business Patterns.

### c. Analyze historical employment trends

After you become familiar with the structure of local industrial employment within your PIC's area, the next step is to study employment trends. Specifically, it is important to know where growth has occurred in the past for purposes of projecting continued growth trends. To determine this, you select an analysis base and target years that seem to best fit the trend of total industrial employment over the past five years. Then, you do simple calculations to identify the absolute and percentage change in employment by industry.

By examining the historical trends of each industry's employment, you can identify which industries have experienced the greatest absolute growth or the fastest rise (percentage increase) in employment. Conversely, you can pinpoint industries which have large numbers of employees, yet are actually

Step 1

declining. (These determinations can be made using a table similar to the one in Exhibit 1 on the following page.)

d. Interpret current economic conditions of area industries

Although it is necessary to see where growth has occurred in the past, it is equally important to determine how those industries have been functioning in the more recent time period. A good place to begin is with the local labor market information newsletter published by the local SESA. The newsletter provides narrative analysis of Current Employment Statistics (CES) on employment and the number of nonagricultural wage and salary jobs by major two-digit (SIC) industry. By comparing the figures for the recent month and for the same month in the previous year, you can obtain an insight into how industry employment has expanded or contracted over the past year.

e. Inspect other current data

There are other valuable data items which you can consult to examine recent industrial trends, such as labor turnover rates and Employment Service job openings. Sources include:

- Data from the Labor Turnover Statistics (LTS) program. Although restricted to manufacturing, mining, and communications, the LTS provides information on labor turnover rates through a monthly employer survey normally incorporated into a monthly newsletter.
- ES Job Bank and ESARS (Employment Security Automated Reporting System) tables to identify current openings registered with the job service by industry to determine if there is a demand for workers in those industries. The Job Bank and ESARS indicate how many openings are listed with the ES, in which two-digit industries these openings occur, and how many remained open for 30 days or more. They also provide some wage and hiring information.

f. Incorporate employment projections in the analysis

After you have examined the current industrial structure, and recent and historical trends by industry, you should look at industry employment projections to obtain a complementary

Step 1

EXHIBIT 1

## CHANGE IN INDUSTRIAL STRUCTURE OF EMPLOYMENT
## DALLAS COUNTY, TEXAS
## 1972-1977

| SIC | Industry | Total Covered Employment 1972 | Total Covered Employment 1977 | Change In Employment 1972-1977 Number | Change In Employment 1972-1977 Percent |
|---|---|---|---|---|---|
| (A) | (B) | (C) | (D) | (E) | (F) |
| | Total | 593.964 | 712.103 | 118.139 | 20.00 |
| ••• | Agricultural Services | 1.248 | 1.483 | 235 | 18.83 |
| ••• | Mining | 7.748 | 9.760 | 2.012 | 25.97 |
| ••• | Contract Construction | 45.802 | 47.245 | 1,443 | 3.15 |
| ••• | Manufacturing | 147.499 | 180.099 | 32.600 | 22.10 |
| 20 | Food and Kindred Products | 12.917 | 12.860 | -57 | -0.44 |
| 22 | Textile Mill Products | 425 | 469 | 44 | 10.35 |
| 23 | Apparel and Other Textile Goods | 15.580 | 16.888 | 1.308 | 8.40 |
| 24 | Lumber and Wood Products | 1.789 | 2.456 | 667 | 37.28 |
| 25 | Furniture and Fixtures | 3.064 | 2.154 | -910 | -29.70 |
| 26 | Paper and Allied Products | 4.542 | 6.435 | 1,893 | 41.68 |
| 27 | Printing and Publishing | 10.490 | 12.714 | 2,224 | 21.20 |
| 28 | Chemicals and Allied Products | 4.484 | 5.620 | 736 | 15.07 |
| 29 | Petroleum and Coal Products | 616 | 573 | -43 | -6.98 |
| 30 | Rubber and Plastic Products | 2.253 | 2.851 | 598 | 26.54 |
| 31 | Leather and Leather Products | 199 | 475 | 276 | 138.69 |
| 32 | Stone, Clay and Glass Products | 3.702 | 3.718 | 16 | 0.43 |
| 33 | Primary Metal Industry | 1,361 | 2.091 | 730 | 53.64 |
| 34 | Fabricated Metal Products | 8.248 | 10.742 | 2.494 | 30.24 |
| 35 | Machinery, Except Electrical | 15.104 | 22.743 | 7.639 | 50.58 |
| 36 | Electric and Electronic Equipment | 30.829 | 40.788 | 9.959 | 32.30 |
| 37 | Transportation Equipment | 15.490 | 10.877 | -4,613 | -29.78 |
| 38 | Instruments and Related Products | 2.708 | 5.376 | 2.668 | 98.52 |
| 39 | Miscellaneous Mfg. Industries | 2.159 | 1.895 | -264 | -12.23 |
| ••• | Transportation and Other P.U. | 48.024 | 55.911 | 7.887 | 16.42 |
| ••• | Wholesale Trade | 64.638 | 70.056 | 5.418 | 8.38 |
| ••• | Retail Trade | 112.686 | 135.993 | 23.307 | 20.68 |
| ••• | Finance, Insurance and Real Estate | 59.799 | 72.915 | 13.116 | 21.93 |
| ••• | Services | 103.059 | 137.180 | 34.121 | 33.11 |
| ••• | Nonclassifiable Establishments | 3.461 | 1.461 | -2.000 | -57.79 |

Source: U.S. Department of Commerce, Bureau of the Census, "Table 2. Counties—Employees, Payroll and Establishments, by Industry," *County Business Patterns: Texas*, (1972 and 1977).

perspective of the industrial structure. Employment projections provide employment data by industry for a base year, a current estimated year, and a target year so that it is possible to calculate absolute and percentage change, thereby identifying where the greatest amount of industrial growth is expected to occur. Another valuable source to consider is the industrial projections in the Industrial Outlook Handbook. This Handbook provides a compact survey of U.S. business and an overview of the developments which will influence their growth potential. Other potential sources of data include employment reports by local chambers of commerce, economic development organizations, and other local private sector or governmental agencies.

### g. Rank local industries according to their employment potential

After you've completed your general analysis, you should identify industries which have the greatest potential for employment growth. This will allow you to narrow the extensive local industrial structure down to a few key leading industries which can be more easily analyzed. As part of this process, you should narrow the industries even further by identifying the specific three or four-digit (SIC code) industries which experienced growth and are projected to continue their growth. An important point to remember here is that in an analysis of available LMI, there normally will be a limited number of industries that consistently stand out as being healthy with good growth potential and a high demand for workers due to growth.

### h. Identify local employers

Next, you should refer to a local Directory of Manufacturers, a Dun and Bradstreet listing of million dollar or middle level firms, or a Chamber of Commerce listing of local businesses to get names, addresses and marketing scope of individual firms within those industries. By integrating this statistical overview of the sources of industrial employment with specific information on the local employment structure, you can identify individuals within high priority potential industries whom you may want to contact as part of your local labor market analysis.

### i. Analyze the occupational composition of selected industries

After you've picked industries, you need to identify the occupations (in relative terms) that comprise the work force for each selected industry. The questions that need to be answered concerning occupations are:

- How many jobs are there in each occupation within the key industries?
- What occupations have the largest number of jobs in those industries?
- In which occupations are future job opportunities most likely to occur?

The occupational composition of employment within industries, taken from the Occupation Employment Statistics (OES) survey program done by SESA, will help determine which occupations make up employment within a particular industry and in what percentages they are distributed. Although industry staffing patterns may be available at the state level only, it may be feasible to apply those same staffing patterns to the local area. Staffing patterns will provide percentage distributions of major occupational groups. By tabulating those occupations by firms within an industry, you can identify the most commonly reported occupations within the industry.

### j. Analyze occupational projections

While it should be recognized that occupational projections have limitations, they are invaluable in identifying growth occupations by industry. Although some states are still using census-based projections, many states now have projections available from the OES survey program. The OES projections are derived by multiplying total employment projections for a target year by industrial staffing patterns. To ascertain local needs you should employ that data which is available to you.

k. Consider job quality

However, you should not restrict your analysis to only the number of jobs potentially available within an occupation. To facilitate the best match between workers and jobs, you should assess the quality of available jobs.

To accomplish this, you should analyze the nature of the job according to:

- transferability of skills within that occupation
- job duties and functions
- basic hiring requirements (including ports of entry) for placement into that occupation
- pay range or average wage rate
- firm-specific training requirements of potential employers.

Considering job quality adequately consists of two parts: reviewing and analyzing available LMI, and gathering additional qualitative information through contacts with local employers to supplement available data.

To assess job quality, generally you can consult the local area nonseasonal, occupational shortage (hard-to-fill) listing or JOB-FLO data provided by the SESA. You can isolate occupations which have transferable skills by referring to the basic duties and functions associated with occupational categories in occupational classification manuals, such as:

- Dictionary of Occupational Titles (DOT). The DOT includes general tasks involved in the occupation, fields, of specialization within an occupation, and statements which describe duties required of workers in this occupation
- Standard Occupation Classification Manual (SOC).

Finally, you can employ the JOB-FLO to acquire information on unfilled openings, pay range, years of education required, and months of experience required for employment. These data are collected from job listings by employers with the Employment Service. Unfortunately, JOB-FLO publication is restricted solely to those occupations in the local area which are listed with the Employment Service.

To get specific information on job quality and training requirements, there is no substitute for personal contact with local employers. Since the majority of actual training takes place on the job, by contacting the individual employer, you can learn what types of training are required to place workers in the firm's entry-level position. This information can be used to structure PIC programs to satisfy hiring prerequisites. This greatly increases the possibility of placement after training.

In conclusion, existing data and sources can be extremely helpful in deciding what programs and services the PIC should provide. However, personal contact always enhances the specificity of and potential receptivity for your programs.

## B. DOING LOCAL EMPLOYER SURVEYS

Your existing LMI data may be sufficient to help you target your PIC's program.[1] However, in those cases when you feel that there are gaps in existing data or you need to know local needs more precisely, the best thing to do is to contact local employers personally for job-specific information. Through a carefully constructed and conducted survey of local employers, you can secure invaluable data which your PIC can use in conjunction with existing LMI to improve the planning, design, and implementation of its total program. The discussion which follows highlights information and provides guidance related to: uses of local employer surveys; making the employer survey decision; and implementing the employer survey.

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[1] The nature of LMI data available varies considerably from state to state. For example, several states do not participate in the Occupation Employment Statistics (OES) survey program or in the Labor Turnover Survey (LTS).

## Uses of Employer Surveys

You can use employer surveys to determine a number of things, including the:

- nature and structure of the internal labor markets of local firms, including those not listed with the ES
- number and occupational characteristics of existing job vacancies in local labor markets
- hiring practices and policies of local firms
- hourly and/or weekly wages and annual earnings of workers in specific occupations
- training and promotional policies of local firms
- employer attitudes toward existing employment and training programs funded by the local CETA Prime Sponsor and other local employment and training agencies.

### 1. Internal Labor Markets and Entry-Level Occupations

Knowledge of the nature and structure of the internal labor markets of local firms in potential high opportunity job opening areas can enable you to plan highly-focused occupationally-oriented training programs to be run by your PIC.

The jobs within a firm's internal labor market consist of entry-level jobs which are open to persons outside the business, and those jobs tied to internal career ladders that are filled by the movement (promotion or transfer) of incumbent employees. Knowledge of the specific occupations that comprise the ports of entry within local business establishments and their linkages with other jobs in the establishment can enable you to target your PIC's occupational classroom training programs toward those "entry-level" jobs which will be accessible to successful program graduates. In addition, you can use the knowledge that you gain regarding entry-level jobs, that pay relatively low wages and provide few promotional opportunities, to identify areas in which your PIC might implement upgrading programs. Or, you can use information on contracting and expanding occupations to identify possible targets for retraining efforts.

## 2. Job Openings Data

You can use data on the quantity and the industrial and occupational characteristics of current job openings in local markets for a number of different program planning purposes. Data on the number of current job openings by occupation can be utilized, together with data on the numbers of unemployed workers by occupation, to identify occupational areas characterized by current shortages in the local labor market. Some of these occupations could be desirable candidates for the provision of classroom training under Title VII.

However, not all such shortage occupations would be suitable candidates for training. Relatively low wages and adverse working conditions may be responsible for the existence of some occupational shortages. Such occupations are frequently characterized by high rates of voluntary turnover and may not provide the employment stability and earnings necessary to achieve longer-term employment goals.

By distinguishing "less desirable" occupational shortages areas, you can then design your PIC's program to concentrate on preparing unemployed and economically disadvantaged persons for employment in "desirable" occupations. This will enable you to meet simultaneously the needs of private sector employers and the unemployed and have a favorable net impact upon reducing the level of unemployment within your community.

If your PIC chooses to do a job opening type survey, it would be best to focus upon subsets of local industries characterized by recent above average rates of growth in employment and by staffing patterns containing occupations that have substantive skill requirements for which training can be provided to participants in a reasonable period of time (maximum of 6-8 months). Getting this type of data will enable you to reach training decisions based not only upon the availability of current job openings in an occupation, but also upon knowledge of the ability of training programs to prepare CETA-eligible individuals successfully for such jobs, with the likelihood of the jobs being open to graduates upon their completion of the program.

### 3. Hiring Policies and Practices

You can also design your local employer surveys to collect a wide variety of information on the hiring requirements for particular occupations and the sources of labor supply utilized by various local firms in securing their needed manpower in those same occupations. Knowledge of the formal education, experience, and specific skill requirements for particular occupations as well as personality traits, test scores, licensing, and other requirements of local employers secured through such surveys can then be used to determine appropriate curriculum content for classroom training programs, and criteria for the selection of CETA-eligible individuals for participation in these programs.

### 4. Information on Hourly Wages and Hours of Work by Occupation

One of the key characteristics of occupations that should be taken into consideration by your PIC in selecting occupational areas for training are their prevailing hourly wages and weekly hours of work. In the 1978 reauthorization of the CETA legislation, Congress declared that the employment and training services provided to participants under the Act should ultimately lead to an increase in their earned incomes and assist them in becoming economically self-sufficient.

There are several local data sources available that provide some information on the hourly or weekly wages of workers in particular occupations, including SESA ESARS, Job Bank data, and the Bureau of Labor Statistics Area Wage Surveys. The available data sources on wages of workers in specific occupations tend to have a number of limitations, however, including their limited occupational coverage and limited degree of representativeness. Therefore, if you cannot obtain "good" hourly wages and work hours information on occupational areas in which your PIC is considering funding programs, you might want to design your own survey focused upon these areas.

A survey of this type should attempt to capture information on the starting hourly and/or weekly wages (no previous experience) for workers in an occupation, the average wages being earned by workers in these occupations, and the maximum wages that workers can earn in this occupation. Data on the weekly hours of work in the occupation should also be collected during the survey as well as data on the typical employment stability of these jobs. The wage and hours data for each occupation should be analyzed to determine the variations in wages paid to workers among local industries and among firms of different employment size classes within a given major industry group.

Your PIC can use the knowledge of these local interindustry and interfirm wage and earnings differentials for given occupations in guiding the development of OJT contracts for CETA-eligible individuals, and the job placement process for graduates of future classroom training programs in these occupational areas.

### 5. Training Policies and Promotional Opportunities

Another potential focus for an employer survey is upon training policies and the internal promotional opportunities of local firms. Surveys of this type should ideally be limited to a relatively small subset (10-20) of occupations being considered for training. Many firms provide post-employment or on-the-job training (OJT).

By surveying the local firms and occupations toward which you intend to direct your programs, you can ascertain the employer's perceptions of the types of skills that workers need to bring with them to the job to perform in a satisfactory manner and information on the types of skills that they (employers) will impart to the workers through information and structured OJT. You can then design the curricula for your classroom training programs to address specifically the pre-employment needs as expressed by potential employers.

In addition, you can use this form of survey to acquire information on the degree and nature of internal promotional opportunities available to workers in the occupational area in which your PIC is interested. These findings on promotion opportunities can then be utilized, together with other information on hiring requirements, training policies, beginning wages, and employment stability of entry-level occupations, in determining those occupational areas in which to invest training monies to achieve the long-term goals and objectives of the PIC.

### 6. Employment Opinions and Attitudes

Using Title VII employment generating services monies, your PIC can support employer surveys to solicit local firm opinions or attitudes on the local employment and training system in areas such as:

- awareness of existing CETA services
- their current use of those services
- their interest in obtaining further information on the availability of CETA employment and training services
- quality and effectiveness of CETA services
- quality and effectiveness of services received in the past, provided by other employment and training agencies, including public vocational education agencies and private training schools.

This information can then be utilized to provide recommendations for improving the effectiveness of local CETA employment and training programs and to develop an information base on local programs of "demonstrated effectiveness" for use in future PIC funding.

As the preceding discussion reveals, there is a wide variety of purposes which can be achieved through employer surveys. A single survey can be designed to achieve several of these purposes. However, some of the purposes for local employer surveys are in opposition to one another. Thus, it is highly unlikely that your PIC would be able to devise one employer survey which would accomplish the full spectrum of employer survey purposes, and answer all the questions you might have regarding the local labor market.

## Deciding Whether to Survey

While information gaps exist in available LMI, your PIC should make the decision to conduct an employer survey only after careful consideration of whether or not a survey is justified, and whether the expected outcome can actually be obtained. Additional data may be needed, but a formal employer survey may not be the appropriate data collection mechanism. You should take the following preplanning steps to facilitate your decision-making on whether to survey:

- Define the information need. What data are needed? How will they be used in the planning process? Will additional data help you to make better decisions?
- Utilize existing resources. See if you can get the additional data you need from traditional sources (e.g., the State Employment Security Agency (SESA), and State Occupational Information Coordinating Committee (SOICC).
- Assess the survey. Make a careful assessment of the costs of the survey, correct survey procedures, reliability of data to be gathered, and possible alternatives to the survey.
- Make the decision. Reevaluate your total information requirements to see if they can be reduced, whether alternative data can be used, and whether certain data needs can be dropped without adverse impact on the planning process.
- Coordinate with your SESA and SOICC. Once you decide to do a formal employer survey, contact your SESA and SOICC to take advantage of any related activity and to secure their assistance in your project.
- Solicit additional assistance. Seek aid from your Prime Sponsor, local universities, and others who might be able to help you in implementing your survey.

## Implementing an Employer Survey

If you decide that your PIC needs to do an employer survey(s) then you must take great care to ensure that the survey(s) is(are) designed in a careful and rigorous manner and administered efficiently. To ensure this end, you should:

- Think out the goal for the survey carefully and completely in advance of its design
- Develop the survey instrument based upon concepts that are measurable and meaningful
- Prepare the sample design using a comprehensive sample frame (all industries within the scope of survey) and taking the objectives of the survey and the level of resources available into account
- Establish effective internal management procedures to guarantee successful administration of the survey
- Collect data and tabulate results.

Some additional summary information on the foregoing procedures is provided in the following pages.

### 1. Developing Your Survey Goals

The goals and objectives which you set for your local survey effort will substantially shape other major components of the survey, particularly the sample design, the development of the survey instrument, and the selection of data collection techniques.

Two general types of goals may be established for local employer surveys:

> Analytical goal - Used when the primary purpose of the local survey is to develop statistically reliable data for research, planning and/or evaluation purposes.
>
> Operational goal - Used when the primary purpose of the survey is to assist in the improvement of the ongoing administration of the local employment and training delivery system. This would include efforts to improve the job development and placement performance of the system or to enhance the marketing of CETA services to local business establishments.

Frequently, there is a desire to accomplish both types of goals with a single survey. Unfortunately, designing a survey that is both analytically and operationally useful can be quite difficult Oftentimes, the goals of analytical and operational usefulness will be in conflict with one another. For example, a survey designed to produce information to support planning, research and evaluation efforts would generally be based upon a process involving the random selection of firms to participate in the survey. An effort to market CETA services, such as OJT, however, would ideally be targeted at a specific set of firms identified as most likely to be in need of such services or amenable to the provision of such services.

Your PIC's critical first step in the development of a local employer survey is to define explicitly its set of overall survey goals. In doing this, examine all goals that you establish to ensure that they are not in conflict with one another.

## 2. Developing Your Survey Concepts

Developing your "survey concepts" is the second step toward implementing your PIC's employer survey. The concepts which you employ in your employer survey should be developed so that they will be both meaningful and measurable.

Meaningful: To be meaningful to both the data analyst as well as the respondent, a survey concept must be defined in a readily understandable, yet rigorous and explicit manner. For example, if a survey questionnaire is developed to ask private sector employers what their "manpower needs" are, the set of responses would likely differ quite sharply from those that would be provided on the basis of a questionnaire that asked employers to list the "number of job openings that were immediately available for occupancy by workers from outside the firm at a given point in time."

The "manpower needs" concept, as stated above, is not sufficiently nor rigorously defined. Consequently, it is not likely to be clear to many survey respondents exactly what type of information is being sought. As a result, the set of responses provided by cooperating establishments will be based on their own notions of manpower needs. These notions may vary considerably among respondents.

Measurable: Your employer survey concepts must also be designed so that they are readily measurable, i.e., the survey concepts need to be defined in a manner that the respondents can both easily understand, and retrieve or secure the data they request. In the case of the data requested, individuals in the establishments contacted (e.g., personnel officers) must possess the information required to respond accurately to the questionnaire.

While survey concepts can generally be defined in a readily understandable fashion, the problem of inadequate information upon which to base a reasonably accurate response may still exist. It is typically the case that information related to recent or current firm behavior is more likely to exist within the responding unit than information about a firm's intentions in the future.

For example, an establishment may or may not possess internal data that would allow it to readily supply accurate information on its past and current levels of employment. Yet, with few exceptions,information with respect to firms' anticipated employment levels at some future date (1-2 years) does not readily exist.

You can enhance your surveys considerably by devising local survey concepts that are comparable to or compatible with existing data sources. Therefore, to the extent possible, you should attempt to match your concepts to the concepts and clarification system used in the state. This will allow you to do comparative analyses of items such as job openings by occupation and unemployment by area. Finally, as an essential part of developing your survey concepts, you should determine how the data obtained will be used by the PIC members and staff.

### 3. Preparing Your Sampling Design

Preparing your sampling design consists of: defining your survey's scope; determining your sample frame; deciding upon sample size; and then selecting your sample.

Survey Scope: Your survey scope refers to the population of business establishments about whom you want to know something. Depending upon the goal of your survey, your scope will be either broadly- or narrowly-defined.

For example, if your PIC wants to secure data regarding the occupational distribution of new hires taking place within the local labor markets, the scope of your survey would be broad and might include all nonagricultural business establishments. If, on the other hand, your PIC has already selected a set of specific industry-occupational job clusters that it believes to be suitable for training, but only wants to verify their suitability, your scope would be more narrow or focused. You could design your focused survey to produce a wide variety of information about the characteristics (wages, internal promotional opportunities, hiring requirements, training requirements) within those specific clusters which you have selected.

In general, broad scope employer surveys are more difficult to conduct than more formed surveys.

Sampling Frame: After determining the scope of your employer survey, you next determine a sampling frame. At a minimum, this sample frame should be capable of identifying the name, address and industrial classification of the entire set of establishments that are within the survey's scope. The most comprehensive source from which you can derive such establishment information is the unemployment insurance tax reports (Form ES-202) provided to your SESA by all employers within the state that are covered by the federal and state unemployment insurance laws.

The public availability of sampling frame data from the ES-202, however, varies from state to state. Some states

Step 1

consider such information to be confidential in nature and will not identify specific establishments when providing any type of information to individuals outside of the SESA system. While other states are unwilling to provide specific employment data for individual establishments, they will provide PIC staff with establishment listings that identify firms' names, addresses, industry classification, and employment size classes. Therefore, as a first step in procuring a sampling frame, you should contact the Research and Statistics section of the SESA to discuss the possibilities of securing the ES-202 sample frame listings.

If establishment address listings from the ES-202 file are not available, you should consider using existing industrial directories to determine the sampling frame. It is important to note, however, that the use of such directories may require a substantial alteration in the scope of data collection efforts. Only rarely will such directories include all of the business establishments within a selected subset of industries within an area.

Consequently, if you are forced to draw your sampling frame from industrial directories, both the scope of your study and the generalizability of your findings will be necessarily reduced. Because the directories are not comprehensive, you cannot be confident that your sample will accurately represent all local firms in the industry-occupation under examination. As a result, it would be extremely difficult to develop statistically reliable industry-wide estimations for variables such as new hires or job openings.

Local industrial directories, therefore, are best suited for conducting surveys designed to provide insights into the activities of a selected set of individual firms. This data may potentially prove quite useful for your PIC in developing profiles of specific local business firms, including their internal labor markets, hiring policies and practices, wage policies, and training practices.

Sample Size: After procuring your sampling frame, the remaining steps are determining the overall sample size for the survey and then developing methods for selecting establishments for inclusion within the sample. If your PIC intends to use the employer survey to produce statistically reliable estimates of labor market variables, two general factors must be considered in determining the appropriate sample size.

First, consideration must be given to the desired degree of confidence that you would like to have about the estimates that the survey will produce. Secondly, you must consider the amount of resources that you are willing to devote to the survey's operation.

In a probability based survey, it is generally true that increasing the size of the sample will lead to decreasing sampling error associated with estimates produced by the survey. Sampling error can be thought of as a measure of the potential degree to which the mean of a given sample may fail to truly reflect the mean of the entire population.

Sampling error results from the fact that observations are made on only some fraction of the population of establishments. Sampling error is also influenced by variations or differences in the characteristics of elements of the population. For example, if your PIC wished to measure new hires by occupation within local business establishments, the sample size required to do so would depend in part on the degree to which and how such new hires occurred among firms.

If all firms hired the same proportion of new workers into similar occupations, required sample sizes would be relatively small, even if a high degree of confidence is desired. If, however, local firms tend to hire sharply different proportions of workers into diverse sets of occupations, then the sample size required to produce estimates with a given level of confidence, would be relatively large. Thus, on the basis of purely statistical criteria, the sample size you employ will be determined by the amount of sampling error that your PIC is willing to tolerate and by the relative homogeneity of the population to be studied.

A second consideration which you must also take into account in determining a proportionate sample size is the level of resources that your PIC is willing to devote to the data collection effort. For example, using the statistical approach discussed above, it may be found that a sample of 1500 establishments is required to produce an estimate with the desired degree of statistical confidence.

Your PIC may be willing to spend $30,000 on its survey. Contacts with CETA Prime Sponsors, the SOICC, and the SESA may reveal, however, that the likely cost of conducting such a survey will be $30.00 per sample unit. The total estimated cost of sampling these 1500 units would thus be $45,000. Consequently in order to stay within a predetermined budget, you would have to reduce your sample size to 1000 units.

The effect of this sample reduction will be to raise the expected sampling error associated with the estimate. Developing sample sizes based on a realistic appraisal of per unit costs and the overall survey budget is an appropriate method for determining the sample size. The primary thing that you should remember is that when you have to adjust sample size downward to fit your survey budget, your degree of confidence must also be reduced somewhat.

Finally, if your PIC has chosen to use employer surveys not to develop statistically reliable estimates but for informational purposes, then the sample size issue becomes primarily a matter related to the availability of overall resources. Again, consideration should be given to unit costs and the size of the overall survey budget.

Sample Selection: The manner in which you select your sample of establishments will depend upon the purpose of your survey, i.e., whether the local survey is designed to produce statistically reliable estimates with a given degree of confidence or whether it is designed to produce information on a specific subset of local firms.

If the survey's overall goal is to produce statistically reliable data, then a random sample selection process with a known probability of selection is required. Random selection simply means that, within a given population, each unit (economic establishment) has the same probability of being included within the sample. It is equally important to know the probability of a given unit being selected (the sample ratio), since the inverse of this particular probability will be used to make inferences about the overall population within the scope of the survey. For example, if a sample is designed to select one of every three units in the population, its sampling ratio is 1:3. The inverse of this ratio (3) becomes the weight upon which estimates for the entire population will be based.

If the overall goal of your local employer survey is to produce information on the hiring, training, and wage policies of local firms, or to develop information for use in Prime Sponsor program operations, such as job placement, then random selection of units for inclusion within the survey is probably inefficient. A more efficient alternative would be to target the local data collection efforts upon a particular set of firms within the local labor area.

Using existing sources, your PIC can select firms for inclusion in the survey. In this way, the sample can be targeted at specific establishments about whom your PIC would like to learn more. It is important to remember, however, that selection of units in this way precludes the development of statistically reliable estimates for the universe of establishments. In conclusion, given the existing gaps in LMI, it is anticipated that the nonrandom approach to establishment sample selection would be the one which you would employ most frequently in meeting your PIC data needs.

### 4. Establishing Your Internal Management System

Once you have prepared your sample design, your next responsibility is to develop effective techniques for managing the data collection process internally in order to allow for the production of timely and accurate information. Two fundamental components for your internal management system should be a control file and an internal schedule flow.

Control File: The basic tool used to manage a local employer survey is a control file. A control file is composed of a list of sample establishments including the name, address, SIC industry classification code, employment level, if available, and a unique identification number. The control file is updated regularly and used to monitor changes in the response status of individual units included within the sample.

The control file is used to monitor the overall rate of response to the survey. Based upon information contained within the control file, follow-up data collection efforts can be focused upon specific areas where response rates are relatively weak. Control files can also be used to record information on follow-up activities. Space should be provided on such files to record the type (mail, visit, telephone) of follow-up undertaken and the date that such follow-up contacts were made.

Schedule Flow: In addition to employing control files to manage the flow of information between your PIC and the sample of local establishments, an internal schedule flow also needs to be developed. This schedule flow should define a process consisting, at a minimum, of the following:

- A schedule checking in and acknowledging receipt of a response on the control file
- Editing and screening procedures, involving a review of the information provided by respondents to insure internal consistency. These procedures include comparisons of control file information with response information
- Follow-up contacts with establishments to obtain additional information or to correct inconsistencies in the information provided

- Updates of the response status of establishments on the control files (e.g., usable, non-usable)
- File schedules for use in producing data tabulations at the completion of the data collection effort.

In setting up your internal management system, you should consult with the SESA research staff to select effective methods for organizing and operation. In addition, you might want to refer to your BLS publication, OES Survey Operations Manual, which provides a detailed discussion on techniques for organizing a large data collection effort.

### 5. Collecting Your Data

Your data collection process will typically involve three parts: initiation, data collection, and follow-up.

Initiation: The process of initiation consists of a set of efforts that are designed to enlist employer establishments in the survey effort, and to identify the individual or individuals within the establishment who possess or have access to the desired information.

Initiation is not intended to directly generate information on establishment behavior. Instead, its purpose is to identify a specific contact person within the establishment, to explain the survey's purpose, describe the features of the questionnaire that will be administered as part of the survey, and solicit the cooperation of establishments. Generally, initiation of this type is carried out over the telephone prior to the actual data collection effort, or through a well-designed, presurvey letter followed by a telephone call.

Data Collection: After initiation has been completed, the actual process of data collection can be undertaken. One of three approaches (mail, telephone, or personal visit) can be employed to collect the necessary information from employers.

Depending upon the types of questions asked and the employment size distribution of the sample of establishments, any one or a combination of approaches may be appropriate.

If the questionnaire is brief and it is believed that the information is readily accessible to respondents, then data collection directly over the telephone may be most appropriate. If the questionnaire is more complex, requesting information on a variety of topics, personal visits may be required. Due to the lower degree of organizational complexity within the smaller establishments, phone collection may prove to be the most effective strategy. In conclusion, although mail questionnaires have often served as a standard method for conducting establishment surveys, telephone and personal visits, at times, can serve as more effective approaches for producing the desired information.

Follow-Up: Typically, you can anticipate that the initial attempt to obtain information from employers will not produce an adequate overall rate of response. In fact, you should expect that the bulk of the response generated by the survey effort will occur only after at least one follow-up contact has been made. Therefore, an important part of your data collection process must be a detailed plan for follow-up.

Experience has shown that follow-up contacts made through the mail are likely to prove relatively ineffective. As a result, your follow-up efforts should probably consist primarily of telephone reminders, direct collection of information over the phone, or field visits.

### 6. Tabulating the Results of the Survey

You should start thinking through the types of tabulations desired simultaneously with the development of your overall survey goals. A useful step in this process is developing hypothetical table formats at the initial planning stages of the survey. The preparation of such tables will contribute to the clarification of a number of issues related to the overall design of the survey and will aid in avoiding a number of problems associated with producing desired tabulations after the data collection effort is completed.

There are three primary types of data tabulation which might be possible based upon the nature of your questionnaire, representatives of your sample, comprehensiveness, and the reliability of your responses. These tabulations are: probability estimates; data summation and cross-tabulation; and individual industry or firm profiles.

As noted earlier, structuring a sample of sufficient size and representativeness to ensure strongly reliable probability estimates (i.e., what evidence suggests will happen in the future) for factors such as new hire rates and turnover roles, might be difficult. However, if your PIC has been able to overcome this problem, at this point, you will be applying various statistical techniques to establish probability based upon your results. These statistical treatments require sophistication of the user and will probably require a computer system's processing capability.

Data summation and cross-tabulation is a much less complex treatment process. This type of data treatment simply involves the preparation of a number of tables designed to summarize and/or to compare the data contained on responses received from cooperating sample establishments. For example, if 700 local employers reported new hires data by occupation, then the tables produced would be developed by summing the responses by occupation across all 700 usable resources. Other tables could be produced to break out and compare new hires data by industry and occupation. Such summary tables are relatively easy to produce and can be completed manually. Although tables of this type do not provide information about those employers that fail to respond to the survey, they may be capable of providing substantial insights into the hiring behavior of a substantial component of the local labor market.

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Finally, your PIC could choose to tabulate your data results to develop individual profiles on the hiring, training, and promotion practice of local employers. Such information organized by occupation on an individual employer basis could serve a wide variety of counseling, planning, and job development purposes within the PIC.

## CONCLUSION

In conclusion, a significant amount of space has been devoted to this step. This is because labor market analysis is the cornerstone for effective PIC programming. The more that you can do to ensure that your analysis is accurate and meets your decision-making needs, the greater the probability that you will design a program which is responsive to local needs and thus capable of success.

REFERENCES

The information presented under this heading has been condensed and abstracted from a recent Department of Labor publication, Jobs in the Private Sector: Use of Labor Market Information (Washington, D.C.: U.S. Government Printing Office, October 1980).

Step 2

## Analyze Local Population Groups and Service Needs

The purpose of this step is to identify those population groups within your local community who are in need of employment and training services and to document the relative extent of their need. The step involves pinpointing, as precisely as possible, the exact impediments and obstacles to job success and unsubsidized employment among these groups.

### Key Concepts

- Prime Sponsor (PS) Comprehensive Employment and Training Plan (CETP): application for financial assistance to DOL. Consists of 2 parts - Master Plan and the Annual Plan.
- Master Plan: long-term agreement between DOL and Prime Sponsors. Describes PS' administrative and programmatic arrangements of PS. Contains demographic characteristics which a PIC can review to assess population groups and their service needs.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Your PIC's responsibility in accomplishing this step is neither as substantial nor as primary as in the preceding step of local labor market analysis. Still, it is essential that your PIC be able to secure accurate data on the most pressing group and services needs within the local community. Quality data in these areas will enable you to design and develop effective employment and training projects targeted directly toward the needs of the un- and underemployed segments of your population.

### Prime Sponsor's Responsibility

The major burden for collecting and analyzing population and service needs has historically fallen upon the Prime Sponsor. The CETA Regulations require that the Master Plan portion of the Prime Sponsor's CETP furnish "a detailed description of the demographic characteristics of the population...and eligible participants..."

To satisfy this requirement minimally, as it is interpreted in the Department of Labor's CETA Forms Preparation Handbook, the Prime Sponsor "must identify the portion of the local resident population which, by virtue of employment status and income, is potentially eligible for CETA programs," by completing the chart on the following page "using the best available estimates or data." The population groups broken out on the chart are referred to by the Department of Labor as "significant segments."

In addition, in the Forms Preparation Handbook the Prime Sponsor is "...encouraged to gather more detailed information, where available, as to the demographic characteristics of the eligible population, including characteristics data cross-tabulated by age, race, and sex..."; and, "to study locally... factors including employment status, household status, level of

Step 2

| | | General Population | Estimated number of persons potentially eligible for CETA Programs |
|---|---|---|---|
| Total, For PS Area: | | | |
| DEMOGRAPHIC GROUPS | | | |
| Sex | Male | | |
| | Female | | |
| Age | 19 & under | | |
| | 20 - 21 | | |
| | 22 - 44 | | |
| | 45 - 54 | | |
| | 55 and over | | |
| Race/ Ethnic Group | White (not Hispanic) | | |
| | Black (not Hispanic) | | |
| | Hispanic | | |
| | American Indian or Alaskan Native | | |
| | Asian or Pacific Islander | | |

employability, handicap, veteran status...as well as other factors identified by the Prime Sponsor."

## A. REVIEWING THE MASTER PLAN

Given the foregoing requirements and directions, your PIC's initial reference source for data regarding population groups and their service needs should be the Prime Sponsor's Master Plan. You should review those parts of the Plan which address population and methods for determining priorities for service among the CETA-eligible population to determine exactly how local population groups and their needs have been analyzed and what the specific findings have been.

Your purpose in reviewing this data should be to ascertain whether it is valid, reliable, and detailed sufficiently to allow you to use it in making decisions on which target groups the PIC should serve and what programs and services to provide. Criteria which you can employ in making this review include:

- timelines
- comprehensiveness
- analytical insight
- particularization
- problematic insight.

### Timeliness

Obviously, one of the necessary characteristics of useful employment and training data is that it be as current as possible. The CETA regulations require that the PS indicate the source(s) of data used and the period of time represented. In your review of the data contained in the Prime Sponsor's Master Plan, you want to check both the sources and their time periods to make sure they are reflective of present conditions within your geographic area.

### Comprehensiveness

There are a number of sources which can be consulted to develop estimates of the population eligible for CETA participation. These include:

- SESA data on the number of persons unemployed 15 weeks or more
- census data on the number of persons residing in households having income less than OMB poverty guidelines
- local, state, and federal data on the number of persons receiving AFDC, or State or local public assistance.

There are some basic problems with all of these sources of data:

- Each data base gives only a partial picture of the employment and training needs in the local community
- The data bases for each source serve different purposes, are independent of one another, and thus give very different perspectives upon the economic situation of locality
- None of the data bases has been designed specifically to meet the needs of local employment and training planners.

Given these very serious limitations upon existing data bases, you should determine in your review of the comprehensiveness of the Master Plan whether:

- more than one standard source was employed to analyze and define population groups and their needs
- locally-generated data have been employed to supplement existing data and to refine and complete the description of the "universe of need" within the community.

If the Master Plan has been developed using several existing data sources and introduces locally-generated data to compensate for gaps in that information, then you can assume that the Plan has "face" comprehensiveness (i.e., it is adequate in its general assessment and coverage of local population needs).

## Analytical Insight

The "Significant Segments" Chart which the Prime Sponsor is required to submit as part of its Master Plan breaks out estimates of potentially eligible CETA participants into the broad demographic categories of sex, age, and race/ethnic group. While this information provides a helpful overview of the general situation of population groups within the community, it provides little or no specific information which can be useful in, within, or across group comparison.

Therefore, another part of your review of the Master Plan should be to determine what steps have been taken to extend this basic analysis in order to facilitate decision-making. Two common techniques which are employed to draw some interrelationships and comparisons between and among data variables are percentage relationships and cross-tabulations.

Percentage Relations: Percentage relations permit examination of severity of need within and across population groups, as expressed in relative numbers. A sample format for comparing the conditions of local population groups can be created by modifying the significant segments chart as shown on the following page.

In addition, percentage relationships can be developed to permit a more in-depth or discrete look at particular subcategories. For example,

- labor force participation rates by age group, sex, and race/ethnicity;
- unemployment rates by age group, sex, race/ethnicity;
- percent of the population in school and/or high school drop-out rates by age group, sex, race/ethnicity;
- percent of families with incomes below the poverty level by ethnicity;
- percent of the population by ethnicity receiving welfare payments by type of payment.

Step 2

| | | General Population | Estimated no.of persons potentially eligible for CETA programs | Percent of CETA eligible Participants |
|---|---|---|---|---|
| Total, For PS Area: | | | | |
| DEMOGRAPHIC GROUPS | | | | |
| Sex | Male | | | |
| | Female | | | |
| | | | | |
| Age | 19 & under | | | |
| | 20 - 21 | | | |
| | 22 - 44 | | | |
| | 45 - 54 | | | |
| | 55 and over | | | |
| Race/ Ethnic Group | White (not Hispanic | | | |
| | Black (not Hispanic | | | |
| | Hispanic | | | |
| | American Indian or Alaskan Native | | | |
| | Asian or Pacific Islander | | | |

**Cross-tabulation:** Cross-tabulation is an extremely valuable technique for obtaining an even more precise definition of the interrelationship of factors by subgroups of population groups. For example, the variables of sex, age, and race/ethnicity can be cross-tabulated, as shown in the table below, to permit clear comparison of needs within and across groups.

Male - 19 & Under

| | General Population - Total | Number Eligible for CETA | % CETA Eligible |
|---|---|---|---|
| White (not Hispanic) | | | |
| Black (not Hispanic) | | | |
| Hispanic | | | |
| Amer. Indian or Alaskan Native | | | |
| Asian or Pacific Islander | | | |

Cross-tabulations do not have to be restricted to analyzing data on the "Significant Segments" Chart. They can be developed to plot and examine the interrelationship among any number of variables (race/ethnicity, unemployment level, average level of educational achievement, low income level) which seem worthy of investigation.

Again, as with comprehensiveness, if the Master Plan employs methods such as percentage relations, cross-tabulations, or other statistical techniques as means of gaining insight into the specific needs of the local population, then your PIC should feel confident in using the data contained therein.

## Particularization

Using the demographic characteristics of age, sex, race/ethnicity is just one way to assess the economic needs of population groups in the local community. Population subgroups can also be defined by using characteristics such as:

- disabled and Vietnam-era veterans
- public assistance recipients
- older workers (55 years of age or older
- ex-offenders
- displaced homemakers
- handicapped persons
- single parents
- individuals who lack credentials (such as persons lacking licenses, required experience, etc.)
- individuals who require basic and remedial skills development
- alcoholics
- migrant workers.

The foregoing, or some other population grouping, may be significant segments--or especially high need groups--within your PIC's community or geographic area. Consequently, an important part of your review of the Master Plan is determining whether "special" population groups have been assessed.

Problematic Insight

The last type of data to be looked for in the Master Plan is data which pinpoints major obstacles or problems (what or why) inhibiting successful employment for those population groups (who) which are found to be in need or CETA-eligible. These obstacles can be defined through both quantitative and qualitative means such as education data; interviews with members of participant groups; and contacts with local employers.

Just a few of the factors which might be identified here are:

- educational level
- transportation
- language
- child care

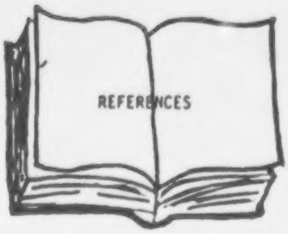
- world of work/employability orientation
- skill development.

In your review of the Master Plan, you should look for tentative explanations or assumptions on the underlying nature of participant group need. This definition of need shapes the programs to be run and the type of services provided through the Prime Sponsor. If the need definition is well-constructed, then it should be of value to you in defining potential solutions to be implemented through the PIC.

## B. REQUESTING ADDITIONAL DATA

It is likely that you will be able to obtain the population group and service need data which your PIC needs for planning purposes from the Prime Sponsor's Master Plan. If, on the other hand, you believe some further analysis of existing data or securing of additional data might be beneficial to your PIC's decision-making, then you and the Prime Sponsor should collaborate to ensure that either or both things are done.

The actual mechanics for accomplishing this extra level of population group and service need analysis will no doubt vary considerably from location to location. Your PIC's major concern in this step, however, should be to ensure that you have data of sufficient quantity and quality upon which to base your PIC's program.



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Step 3

## Review Programs and Plans of Other Agencies/Service Deliverers/Businesses

The purposes of this step are to pinpoint: gaps in the local service delivery system; possible areas for collaboration with other service deliverers; and areas in which your PIC may choose to initiate new services or projects.

The step consists of identifying all of those programs which potentially impact upon employment and training services and your PIC's program and then looking at their past performance and future plans for service. Programs that you should review include: the CETA program, Employment Service programs, economic development programs, governmental agency programs, educational programs, relevant private sector programs.

Key Concepts

- Prime Sponsor (PS) Annual Plan: document which Prime Sponsor prepares annually to describe program for providing activities and services to the eligible population for upcoming fiscal year and to apply for federal assistance.
- Subparts: major segments of the PS' Annual Plan.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

The CETA regulations state that, "The PIC should consult with the Prime Sponsor and its planning council during the development of, and shall have the opportunity to review and comment on, other Annual Plan subparts under the Act." They also recommend that the PIC should, "to the extent possible," ensure that its plan is consistent with, and "where possible," review and comment upon plan, and grant applications related to private sector employment and training which are submitted to other federal agencies for funding.

The fundamental reason that this reciprocal planning review process is set out in the regulations is to ensure coordination of employment and training planning at the local level. However, you are probably less concerned with what those requirements mean in terms of abstract concepts such as "coordination" and are more concerned with what they mean specifically in terms of what you ought to do as part of your PIC planning process.

### A. MAKING OTHERS' PLANS WORK FOR YOU

Actually, the review of other agencies' or service deliverers' plans can provide you with data, programmatic approaches, and ideas which may be extremely useful in helping to shape your PIC's plan. Specifically, by reviewing others' plans you may be able to:

- secure timely data regarding target group and local labor market need
- identify programs which have a high success rate
- pinpoint potential service deliverers who provide services efficiently and effectively
- determine who is going to do what to help whom.

Based upon this review, you can structure your PIC's program to complement and reinforce other efforts being undertaken at the local level. How you do that will vary according to conditions within your employment and training community. However, possibilities would include:

- directing PIC programs toward target groups and potential job opportunities not being addressed through other programs
- "piggy backing" by using PIC funds to support programs which have a record of demonstrated success
- cooperating or linking up with other agencies to "joint venture" a project
- selecting successful basic program designs and modifying them as appropriate for implementation through the PIC
- identifying employment service areas in which there are gaps and developing special programs to fill those gaps.

## B. REVIEWING THE PRIME SPONSOR'S PLAN

Obviously, the most important plan in which to provide input and to review is the Prime Sponsor's Annual Plan. The Annual Plan consists of an application for federal assistance, a narrative description of programs, Program Planning Summaries, Budget Information Summaries, and other forms. The Plan itself is structured as follows:

A. Application for Federal Assistance
B. General Annual Plan Narrative
C-L. Annual Plan Subparts
C. Title II, Parts B & C: Training Activities, Upgrading and Retraining
D. Title II, Part D: Public Service Employment and Classroom Training
E. Title IV, Youth Community Conservation Improvement Projects

F. Title IV, Youth Employment and Training Programs

G. Title IV, Summer Youth Employment Program

H. Title VI, Public Service Employment

I. Title VII, Private Sector Initiative Program

J. Title III, CETA National Demonstration Programs

K. Administration Annual Plan Subpart

L. Planning Council Recommendations and Governor's Comments

M. Required Annual Plan Forms

  1. Budget Information Summary
     BIS Backup

  2. CETA Program Planning Summary

  3. Summary of Subrecipients and Contractors

  4. CETA Monthly Schedule

Those portions of the Annual Plan which are most worth reviewing in shaping your PIC's Annual Plan are:

- General Annual Plan Narrative - summarizes information obtained through monitoring and evaluation of all programs under the Comprehensive Employment and Training Plan (CETP) and outlines annual plan of service to target groups from significant demographic segments in the Prime Sponsor area.

- Title II, Parts B, C, and D - describes various training, upgrading, and retraining programs to be sponsored through the Prime Sponsor.

- Title IV, Youth Employment and Training Program - details activities and services to be directed at young persons within the community.

In addition, you might find it worthwhile to review the narrative description in the Prime Sponsor's Master Plan. The Master Plan serves as the long-term agreement on basic program planning and administrative matters between the Department of Labor and the Prime Sponsor. It has no pre-established expiration date. Once developed, it is modified

Step 3

only as necessary to maintain accuracy.

The Master Plan is a potentially important source document for your consideration as a PIC because it contains basic data and information on:

- the geographic area, population, and labor market
- overall goals of the PS' program
- basic program approaches and a description of arrangements to ensure the provision of employment and training services
- descriptions of procedures and criteria for service deliverer selection
- mechanisms for coordination and linkages with the State Employment Security Agencies and other Federal agencies
- a description of the Prime Sponsor's planning procedures and responsibilities
- a description of the Prime Sponsor's organizational structure and staffing.

## C. REVIEWING OTHER PLANS

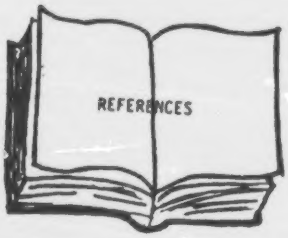
Other agencies whose plans should be reviewed at this stage include:

- State Employment Security Agency - Program and Budget Plan
- Economic Development Administration
- Department of Housing and Urban Development
- Small Business Administration
- Community Services Administration

In addition, as time allows, you should attempt to review the plans and program performance of all those state and local government agencies which provide services of an employment and training nature within your local community. Finally, don't ignore any work that private sector firms may be doing which also might be relevant. Given the large number of firms, this will be difficult, but as you begin to focus on growth occupations, it becomes very important to identify the kinds of training and the types of facilities available in the private sector. You may be able to build on what employers are already doing, use their staff or facilities for a nominal charge or for free, or follow their curricula.

## CONCLUSION

In conclusion, looking at the plans and performance of other agencies and service deliverers will help you to determine how to construct your PIC program so that it fits most easily within and can be most effective for your community. To ensure this responsiveness, to the extent possible, the Council should be involved in reviewing and reacting to the comments and plans of others.



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U.S. Department of Labor, Employment and Training Administration *Comprehensive Employment and Training Act Regulations*; Final Rule (Washington, D.C.: Federal Register Vol. 45, No. 99, May 20, 1980).

## B. DEFINE PIC STRATEGY

Purpose: To develop, using the data secured in the needs assessment and an analysis of the PIC's programmatic, organizational and administrative performance over the preceding year, a strategic plan consisting of goals to be accomplished in the upcoming year and other goals to be accomplished in the long term.

Steps

1. Assess PIC Program Performance
2. Assess PIC Organizational and Operational Performance
3. Review Needs Assessment Findings
    a. Define EGS Needs
    b. Select Target Groups
    c. Determine Occupational Training Priorities
    d. Define Participant Service Needs
4. Redefine PIC Mission and Function
5. Refine Basic Organizational and Operational Framework
6. Formulate Goals and Strategic Plan

Step 1

## Assess PIC Program Performance

The purpose of this step is to determine how well a PIC performed programmatically (i.e., in terms of project or service activities) so that information can be used in replanning. In this step, you look at program performance at three levels--overall, by component, and by service deliverer. Data obtained from the PIC's evaluation system provides the primary inputs for accomplishing the step.

Key Concepts

- Planned versus Actual Performance: measurement of achievement or accomplishments against pre-set objectives and standards contained in annual plan.
- Deficiencies or Significant Variations: areas in which performance falls significantly below that planned.
- Blockages/Barriers: obstacles or reasons for less than successful performance in an area.
- Components: major specific activities, including training and other participant programs and employment generating services.
- Service Deliverers: any organization or firm the PIC uses to provide services or perform activities.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

As noted, your PIC's evaluation system should furnish the information that you will need for performance review. If you have an adequate system in place, that system will provide you with almost all of the objective data that you need to review your PIC's performance in such a way that it's relatively easy to make decisions based upon that review. Section F, "Develop Evaluation Plan," describes how to put a comprehensive evaluation system into place for future use.

Let's suppose, however, that your PIC doesn't have the perfect evaluation system right now. What can you do as an interim measure to review your PIC's performance in a systematic manner?

First, realize that you don't have time and it's not necessary to look at everything. Therefore, you have to decide what's important to look at, what questions to ask, what methods to employ, and what measures or indicators to use as means to assess performance.

## A. DECIDING WHAT TO LOOK AT

There are a variety of areas that can be looked at in reviewing your PIC's program performance. These include:

- accomplishment and appropriateness of organizational purpose and goals
- delivery of program services and other activities (EGS)
- relative effectiveness of various service deliverers
- the overall impact of the PIC's projects.

## B. DETERMINING THE QUESTIONS TO ASK

The areas you choose to look at and the factors you define as important will determine the questions that you need to ask regarding your PIC's performance. Some possible questions which you might ask as they relate to various areas of analysis follow.

Economic Impacts on Participants

- What do various measures of placements and terminations show?
- What do various measures of wage gains show?
- What can be said about the quality of jobs developed?
- What can be said about the retention of participants in the jobs they obtain?
- What can be said about advancement of participants from their first job to better jobs?

Institutional Impact of Title VII

- Has the PIC stimulated new business participation in local employment and training efforts?
- Has the PIC stimulated new responsiveness on the part of "traditional" employment and training deliverers to the needs of business?
- Is there a comprehensive planning approach between PIC and the local Employment and Training Council?
- Has the PIC stimulated any areawide planning between different prime sponsorship areas and other PICs?

Attitudinal Impact of Title VII

- How has the PIC program affected the attitudes of employers toward the program, toward employment and training programs in general, and toward eligible clients as potential employees?
- What impact has the PIC program had on the attitudes and motivations of participants?

Patterns of Service

- What are the characteristics of the participants being served? How do they compare to regular CETA clients, goals, and some statement of "universe of need"?
- What are the characteristics of the businesses being served? Where do they stand in the overall economic structure of the area?

Cost

- What reasonable cost-benefit calculations can be made about some of the above impacts?

## C. EVALUATING PROGRAM OUTCOMES

As the foregoing listing suggests, the options available for a summary review of performance are numerous. At a minimum, your PIC will probably want to answer four basic questions regarding program outcome:

- How well did your PIC perform numerically in terms of participants, costs, resource utilization?
- Was your total program implemented according to plan - qualitatively?
- How well did each component (e.g., classroom training, marketing, labor market analysis) perform?
- What was the relative effectiveness or performance of the service deliverers you used?

Answering the questions will enable you to identify areas in which there were performance shortfalls, and to follow up to ascertain the reasons (blockages/barriers) for that shortfall. This level of inquiry will also enable you to draw conclusions which can be used to make basic replanning determinations such as:

- Were your initial planning assumptions valid?
- Were your initial goals and objectives realistic?
- Was your overall programmatic thrust, or mix of services and projects sound?
- Are there any components of your program which should be dropped? Given increased support?
- Are there any service deliverers who are ineffective? Highly effective?

## D. USING THE MOST COMMON METHOD: PLANNED VERSUS ACTUAL PERFORMANCE

There is one basic method that is used more often than any other for outcome evaluation. That is planned versus actual performance.

There are probably three reasons for the dominance of this method in performance review:

- This type of review tells you how well your program did compared to objectives or standards that you established for yourself at the beginning of the year.
- The majority of data for this form of review can be retrieved easily from reports--Program Status Summary, Summary of Participant Characteristics, and Financial Status Summary--which are prepared quarterly and annually for the Department of Labor.
- The performance versus plan evaluation approach is that traditionally used by the Department of Labor in its assessment of employment and training program performance.

### Variance

The concept which is central to the quantitative measurement of performance against plan is "variance." Variance is the proportion, expressed in a percentage, of the difference between planned performance and actual performance. This fact is expressed in the formula below:

$$\frac{\text{Actual-Planned}}{\text{Planned}} \times 100\% = \text{Variance}$$

For example, if the planned total enrollment for the year in your PIC's classroom training program was 50 and the actual enrollment was 30, the variance would be computed as shown below:

$$\frac{30-50}{50} \times 100 = \text{variance}$$

$$\frac{-20}{50} \times 100 = -40\% \text{ variance}$$

Calculating variance allows you to state exactly how well your program did as opposed to plan. Although there is no hard and fast rule, a variance of ± 15% is normally considered tolerable. A variance of 25% normally indicates that there may be a problem in the area in which there is a variance.

Goal/Objectives Attainment

A second concept which is key to performance versus plan evaluation is "goal or objective attainment." This concept is most useful in the measurement of less quantitative program outcomes. The concept is used to measure the degree to which PIC objectives were realized.

Factors which are normally taken into account in looking at goal attainment include:

- timeliness
- quantity
- quality
- cost efficiency.

The concept of goal attainment is explained further under the next heading on "Applying Performance Versus Plan Perspective.

## E. APPLYING THE PERFORMANCE VERSUS PLAN PERSPECTIVE

To reiterate, there are four essential areas for examining your PIC's program performance:

- Overall Quantitative Analysis
- Overall/Component Goal Attainment Analysis
- Component Review and Analysis
- Service Deliverer Review and Analysis.

## Overall Program Performance Review - Quantitative Analysis

For purposes of a numerical assessment, the aggregate performance of the PIC can be broken into two major categories: direct services to participants; and other services and activities.

### 1. Direct Services to Participants

There are a variety of outcome indicators that you can use to look at direct services to participants. The five principal areas in which measurements of performance are normally made, however, are:

- service levels by target group
- enrollment level
- expenditure level
- results achieved at end of service (termination)
- outcomes in relation to cost.

Simple formats that you can employ to review and analyze performance against plan, as determined through variance for each of the areas cited above, are presented on the following pages.

PERFORMANCE VS. PLAN: SERVICE TO TARGET GROUPS

| | | % of Total Participants | | |
|---|---|---|---|---|
| | GROUP | ACTUAL | PLAN | % VARIANCE |
| SEX | Male | ___ | ___ | ___ |
| | Female | ___ | ___ | ___ |
| RACE | White/Non-Hispanic | ___ | ___ | ___ |
| | Black/Non-Hispanic | ___ | ___ | ___ |
| | Amer. Indian or Alaskan Native | ___ | ___ | ___ |
| | Asian or Pacific Islander | ___ | ___ | ___ |
| AGE | 19 and under | ___ | ___ | ___ |
| | 20-21 | ___ | ___ | ___ |
| | 22-44 | ___ | ___ | ___ |
| | 45-54 | ___ | ___ | ___ |
| | 55-older | ___ | ___ | ___ |
| SPECIAL CATEGORIES (as defined by PIC) | Handicapped | ___ | ___ | ___ |
| | Vietnam Era Veterans | ___ | ___ | ___ |
| | ADC Recipients | ___ | ___ | ___ |
| | Ex-Offenders | ___ | ___ | ___ |
| | Others (list) | | | |

Step 1

| PERFORMANCE VS. PLAN: ENROLLMENT AND EXPENDITURES | | | |
|---|---|---|---|
| | RESULTS | | |
| INDICATOR | ACTUAL | PLAN | % VARIANCE |
| . Total Cumulative Enrollment | ____ | ____ | ____ |
| . Total Current Enrollment | ____ | ____ | ____ |
| . Total Accrued Expenditures | ____ | ____ | ____ |

| PERFORMANCE VS. PLAN: TERMINATIONS | | | | |
|---|---|---|---|---|
| | | RESULTS | | |
| INDICATOR | FORMULA | ACTUAL | PLAN | % VARIANCE |
| . Positive Termination Rate | $\frac{\text{Tot. Pos. Term.}}{\text{Total Term.}} \times 100$ | ____ | ____ | ____ |
| . Entered Employment Rate | $\frac{\text{Tot. Ent. Emp.}}{\text{Tot. Term. Less Transfers}} \times 100$ | ____ | ____ | ____ |
| . Indirect Placement Rate | $\frac{\text{Tot.Indir.Place.}}{\text{Tot. Term. Less Transfers}} \times 100$ | ____ | ____ | ____ |
| . Private Sector Placement | $\frac{\text{Priv.Sec.Place.}}{\text{Tot. Entered Employment}} \times 100$ | ____ | ____ | ____ |

| PERFORMANCE VS. PLAN: COSTS | | | | |
|---|---|---|---|---|
| | | RESULTS | | |
| INDICATOR | FORMULA | ACTUAL | PLAN | % VARIANCE |
| . Cost Per Positive Termination | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Pos. Term.}}$ | ___ | ___ | ___ |
| . Cost Per Entered Employment | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Entered Emp.}}$ | ___ | ___ | ___ |
| . Cost Per Indirect Placement | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Indir. Place.}}$ | ___ | ___ | ___ |

In conclusion, measuring in the foregoing areas, using the formats provided or substitutes more appropriate for your situation, will give you a good picture of the overall quantitative results achieved through the direct services to participants portion of your PIC's programs.

## 2. Other Services and Activities

It's much more difficult to do a quantitative assessment for those services and activities which are not directly participant related. It is possible, however, to do a simple analysis of variance of costs for those nonparticipant services undertaken by the PIC. The chart below, or a similar one, could be used for that purpose.

PERFORMANCE VS. PLAN: OTHER SERVICES AND ACTIVITIES

| | RESULTS | | |
|---|---|---|---|
| SERVICES AND ACTIVITIES | ACCRUED EXPEND. ACTUAL | $$ BUDGETED PLAN | % VARIANCE |
| Administrative Cost Pool | ____ | ____ | ____ |
| Intake and Assessment | ____ | ____ | ____ |
| Employment Generating Servs. | ____ | ____ | ____ |
| Other | ____ | ____ | ____ |

The more important aspect in an analysis of these services would be to review them within the context of the implementation of your PIC's total plan.

## Program Performance Review - Goal Attainment Measurement

Of necessity, the process of evaluating your PIC's success in implementing its total plan must be somewhat more subjective and less quantitative than that which can be accomplished in looking at outcomes which involve participants directly. However, that doesn't mean that it is any less important. In fact, quite the contrary is true.

Given the fact that Title VII is a demonstration Title which encourages innovative and experimental programs and administrative arrangements, and allows your PIC to devote up to 30% of its budget to Employment Generating Services--which can be non-direct in nature--the need for additional and different forms of evaluation beyond the strictly quantitative is critical.

However, you can devise a simplified performance vs. plan approach to review performance in these areas. The steps involved to do this, in a retrospective fashion, would be as follows:

1. Review the annual plan.
2. List all major objectives or components as yet unmeasured (e.g., Employment Generating Services; to incorporate PIC).
3. Identify primary activities to be undertaken with reference to each area (e.g., Employment Generating Services - marketing program; Job Development program; Targeted Job Tax Credit Program).
4. Specify end results, products, or outcomes expected for each activity listed (e.g., Job Development Program: job fair - 2 days in length, to have representatives from 100 local private sector firms, to produce 250 new jobs for CETA-eligible participants; Marketing Program - print and distribute 3,000 brochures

Step 1

to all local industries employing between 500-525 individuals, emphasizing benefits of private sector involvement and explaining how to participate in PIC programs).

5. Once the foregoing steps are accomplished, review each intended result in turn to identify whether or not the outcome was achieved.

6. For every outcome not achieved, indicate what was accomplished, explain present status, and identify what prevented achievement.

7. For every outcome which was achieved, assess the final product to ascertain whether it conformed to specifications or expectations regarding:

   - number or quantity
   - quality
   - time
   - cost.

8. Based upon your rating of each completed outcome according to the criteria, assign a performance level to the outcome:

   - Greatly Exceeded Expectations/Specifications
   - Exceeded Expectations/Specifications
   - Met Expectations/Specifications
   - Did Not Meet Expectations/Specifications
   - Fell Far Short of Expectations/Specifications

9. As for outcomes not achieved, for those outcomes which did not meet expectations or specifications, identify if possible, what factors might have caused less than expected results.

Developing a chart similar to that presented on the following page will facilitate your PIC's implementation of the performance vs. plan analysis described in the foregoing steps.

## PERFORMANCE VS. PLAN: SUMMARY REVIEW FORM

| OBJECTIVES/ COMPONENTS | ACTIVITIES | END RESULTS, OUTCOMES, PRODS.EXP. | ACHIEVED | | ASSESSMENT | | | | PERF. LEVEL | EXPLANATION |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | YES | NO | QUANT. | QUAL. | TIME | COST | | |
| | | | | | | | | | | |

step 1

## Component Performance Review

Once you have looked quantitatively and qualitatively at your total program, you will probably next want to look at its major component pieces, such as:

- Classroom Training - Occupational Skill
- Classroom Training - Other
- OJT
- Upgrading
- Retraining
- Employment Generating Services

Various weighting schemes have been developed which permit a direct comparison of components to assess their relative effectiveness. These approaches are discussed in the evaluation section of this Guide and they may prove helpful to you in the long term.

At this juncture, however, a more pragmatic approach is to look at your program's components by applying the same quantitative performance vs. plan perspective that you used to look at your program in the aggregate. Useful indicators again would be:

- cumulative enrollment compared to planned capacity
- accrued expenditures
- positive termination rates
- entered employment rate
- cost per positive termination
- cost per entered employment

Charts which could be employed or modified to facilitate comparative analysis of components follow.

## PERFORMANCE VS. PLAN: ENROLLMENT AND EXPENDITURES

| COMPONENTS | CUMULATIVE ENROLLMENT | | | CURRENT ENROLLMENT | | | ACCRUED EXPENDITURES | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

## PERFORMANCE VS. PLAN: TERMINATIONS

| COMPONENTS | POSITIVE TERM RATE* | | | ENTERED EMP. RATE* | | | INDIRECT PLACEMENT RATE* | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

*Select indicators, based upon nature of your program, which are applicable to components.

Step 1

## PERFORMANCE VS. PLAN: COSTS

| COMPONENTS | COST PER POSITIVE TERM* | | | COST PER ENTERED EMP.* | | | COST PER PARTICIPANT* | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

*Select indicators, based upon the nature of your program, which are applicable to components.

## Service Deliverer Review

The last area to look at in a summary review of performance is the relative performance and effectiveness of the individual service deliverers with which you contracted. Again, rating systems have been developed to permit a straightforward comparison across components and service deliverers. Maintaining the perspective we have had up to this point, however, the most immediately useful form of assessment of service deliverers is against their plans, and then to compare those deliverers which are providing services within the same component (e.g., OJT, or Classroom Training).

This comparison is most useful when you have two providers furnishing the same service (e.g., clerical training). But, it is still of some value to identify the relative costs and outcomes associated with various programs in order to make tradeoffs and reach decisions for future planning. Using a chart similar to the one on the following page would permit easy review and comparison among service deliverers within a component.

COMPONENT: Classroom Training[1]

| SERVICES DELIVERERS | ENROLLED | | | TRNG. EXPENDITURES | | | POS. TERMINATIONS | | | ENTERED EMP. | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. |
| Project A | | | | | | | | | | | | |
| Project B | | | | | | | | | | | | |
| Project C | | | | | | | | | | | | |
| - Deliverer 1 | | | | | | | | | | | | |
| - Deliverer 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

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[1] Another indicator frequently used in this area is pre-CETA earnings vs. post-CETA earnings.

## F. USING PERFORMANCE REVIEW DATA FOR REPLANNING

As indicated earlier in this section, performance review is done to ascertain whether your PIC performed as well as, better, or worse than planned so that that information can be used in reaching informed decisions for ongoing program planning.

By taking a summary look at your PIC--at the program, component, and service deliverer levels--you can pinpoint areas of significant variation and possible potential problem areas.

Based upon the identification of a potential problem, you can conduct a critical examination and collect data in order to determine what the reasons for deviation from the plan were. This information can be used to define the problem as clearly as possible and then to reach preliminary judgments regarding changes that need to be made in the PIC's planning assumptions, program scope, basic component approaches, or in service deliverers. Decisions made at this point become primary inputs in shaping the PIC's program for the next fiscal year.

## CONCLUSION

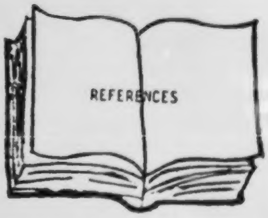
We've concentrated most of our attention in this step on the concept of performance versus plan. As noted earlier, however, that's not the only way to look at program performance and results. Your responsibility is to consider the potential alternatives for PIC program evaluation, to match them up against your needs, and then to design and use the review process which is most appropriate given your present situation. (For a discussion on the full range of evaluation alternatives available to your PIC, refer to Stage F, Step 1, pp. III-255 to III-278.)

Some cautions are in order:

- Don't look at too much: Restrict your inquiry to those areas and questions which are most essential to assessing overall performance.

- Keep your assessment framework simple: Select indicators for which you can easily obtain data and methods for data analysis which are not too complex in design.

- Plan on how you will use the results of the review: Determine, in advance, how you will follow up in order to pinpoint reasons for sources of problems. Make provisions for incorporating your findings into replanning your PIC's program.



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**Step 2**

## Assess PIC Organizational and Operational Performance

The purpose of this step is to determine how well your PIC performed organizationally and operationally. This step is taken to examine basic arrangements and methods of functioning to determine their utility for future program operation.

**Key Concepts**

- PIC Organization - structural arrangements and division of roles and responsibilities among PIC members and staff.
- PIC Operations - manner in which a PIC functions both internally and in relation to significant others (e.g., Prime Sponsor and community).
- PIC Procedures and Methods - basic administrative processes and guidelines for managing and directing PIC's efforts.
- PIC Priority Development Need Areas - key organizational and operational areas in which a PIC needs to improve its performance.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Assessing your PIC's organizational and operational performance is a parallel step to assessing program performance. This step involves two parts:

- Examining Performance
- Defining Priority Developmental Need Areas

## A. EXAMINING PERFORMANCE

Areas that you should look at in this step include: PIC Organization, PIC Operations, PIC Procedures and Methods. Possible questions that you might ask yourself in each of these areas follow.

### PIC Organization

- Are PIC goals clear, understood, and shared by members?
- Are the PIC members clear on the role they want the Council to play with reference to the Private Sector Initiative Program?
- Are the divisions of responsibilities among and between PIC staff and members clear?
- Does the PIC have a complete statement of mission and function?
- Is the Council structured most effectively and efficiently to facilitate both decision-making and program oversight?

### PIC Operations

- Is the PIC well-staffed? Are the PIC and the staff assigned to or hired by it working productively together?
- Is there an active core of the PIC membership large enough to sustain continuous decision-making and program support activity? Can vacancies be filled in a timely fashion and are they filled using criteria that help sustain and build this core of active members?

- Are PIC relations with the prime sponsor good enough to allow the PIC to have any leverage on the whole CETA system?
- Is the PIC visible and positively received in the local business community?

### PIC Procedures and Methods

- Does the PIC have administrative procedures and operating guidelines in place? Are they useful and current?
- Is the planning process for Title VII orderly and does it allow enough time to make reasoned decisions?
- Is the planning process structured to include individuals and institutions whose support for the final product is important?
- Does the PIC have a systematic method for monitoring program performance and taking corrective action as necessary?
- Does the PIC have a systematic plan for evaluating the effectiveness of each activity and its total program?
- Is the evaluation data which is collected sufficient in quantity and quality for PIC decision-making?

## B. DEFINING PRIORITY DEVELOPMENTAL NEED AREAS

By answering the foregoing questions, your PIC can identify internal "barriers" to effective PIC performance and your PIC's developmental needs. Needs which you might identify through this process include the:

- need to reorganize or to restructure the Council
- need to clarify staff and/or member roles and responsibilities
- need to improve staff or Council performance either in terms of work output, relations with one another, relations with CETA Prime Sponsor, or external relations

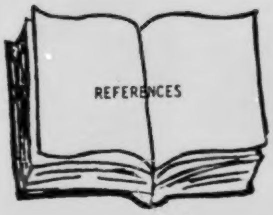
- need to develop new or more detailed administrative procedures and operating guidelines
- need to upgrade the PIC planning, management and evaluation process.

You can examine all of those barriers and needs which you have identified to determine the extent to which they impede your PIC's performance. Then, based upon that assessment, you can create a priority ranking of the developmental needs of your PIC. Using that ranking, you can then select those needs which you are going to address in terms of instituting changes within this fiscal year. A process you might employ to accomplish this priority needs ranking is described below:

1. Develop an organizational and operational self-assessment questionnaire, using questions similar to those presented earlier, to be completed by all Council members.
2. Have Council members complete the questionnaire independently.
3. Tabulate responses of Council members in order to determine a ranking of priority needs.
4. Have a Council meeting
   - to examine results of questionnaire ranking;
   - to determine whether priority order should be changed or other needs should be included;
   - to decide what needs should be addressed in this fiscal year.
5. Create a PIC organizational and operational developmental agenda based upon meeting.

Completing this step enables.your PIC to begin to shape the framework through which it will achieve its programmatic purpose and objectives. Step 5 which follows describes specific actions which your PIC might take to refine its basic organizational and operational framework.

Step 2



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Step 3

## Establish Initial Need Priorities

The purpose of this step is to take the data obtained by your PIC in "Stage A. Assess Local Needs" and review it to establish a preliminary ranking of programmatic needs and priorities. Establishing these priorities involves:

- defining employment generating needs;
- selecting target groups to receive program services;
- determining occupations for training programs; and
- defining training and development service needs.

### Key Concepts

- Employment Generating Needs - local needs related to developing activities or services to create jobs or to otherwise improve employment opportunities for CETA-eligible participants.
- Target Groups - those significant segments (e.g., youth, blacks, welfare recipients, displaced homemakers) of the local population who are selected as the foci for PIC's programming efforts.
- Occupational Training Priorities - local "growth" occupations selected as those for which PIC should develop training programs.
- Participant Service Needs - training and development assistance needs of the individuals in those groups which have been selected as targets for PIC's programs.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge
  Excellent — Above Avg. — Average — Below Avg. — Poor
- Capabilities
  Excellent — Above Avg. — Average — Below Avg. — Poor

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

As you know, there are two broad categories of programmatic activities which your PIC can support:

- Training and Development Projects - projects specifically directed toward CETA participants to prepare them to secure unsubsidized employment.
- Employment Generating Services - projects or services not specifically directed at clients, intended and designed to generate increased employment opportunities in the private sector for the CETA participant.

In this step, your PIC establishes preliminary priorities for both of these categories. This involves:

- defining employment generating service needs
- selecting target groups
- determining occupations for training programs
- defining participant training and development service needs.

### A. DEFINING EMPLOYMENT GENERATING SERVICE NEEDS

Under the Employment Generating Services heading, your PIC has the responsibility to:

- attempt to bridge the gap between the private and public sectors
- help to create new job opportunities for the un- and underemployed
- develop innovative alternatives to traditional approaches to meeting employment and training needs.

## Asking the Right Questions

To discharge these responsibilities, your PIC needs to evaluate local circumstances and conditions. By using your needs assessment data to answer questions such as the following, you can determine which needs are most important at this time.

- Is there a lack of awareness of PSIP?
- Is there a negative impression toward governmental employment and training programs?
- Do good job opportunities exist within the local environment which go unfilled because of lack of contact between governmentally-sponsored programs and local business establishments?
- Is there a need to help create jobs or to develop the economic climate of the community?
- Is there effective cooperation and communication among those agencies which constitute your local employment and training network?
- Have governmentally-sponsored programs been designed to be directly responsive to the needs of local businesses?
- What do local employers feel inhibits their employment of the structurally unemployed?
- What services can be provided to enhance the local business communities receptivity toward your programs?

## Identifying Priorities

Your answers to the foregoing questions will identify the areas in which there are high needs and help to determine the design of the Employment Generating Services portion of your plan. Possible general need areas and the types of needs within those areas which might be identified through this process are listed below:

Economic/Community Development

- To encourage local business to remain in community.
- To provide local business with funding/ assistance for expansion.
- To attract new businesses (foreign and domestic) to community.
- To form new small businesses which will employ clients as proprietors or as employees.
- To encourage federally-funded redevelopment projects which require jobs for targeted disadvantaged.
- To bring workers and employers together through community infrastructure improvement.

Linkages

- To improve operational relationships with other local, state or federal government agencies involved in job creation and economic development.
- To improve coordination training/job development efforts of PIC and other community and business groups.
- To combine resources of PIC and local labor unions to provide OJT.
- To bring schools and business together to better match school programs and business needs.

Marketing

- To increase employment of clients and others through use of tax credit incentive.
- To encourage employer use of PIC projects/ clients.
- To acquaint employers with range of PIC/ CETA programs and services.
- To aid employers in making best use of available PIC projects/CETA clients.

Worker/Workplace

- To fill local employer needs by recruiting and training individuals who have difficulty joining labor force.

Step 3

- To give clients needed skills in job hunting and work related behavior so they will be acceptable to local employers who have openings.
- To match available clients with identified needs of local employers to create specific jobs for CETA-eligible participants in local businesses.

Labor Market Analysis

- To secure better information on local labor market and business conditions.

To make the decision of which needs are most important, you could have your Council first identify all those needs which exist, and then vote to determine a priority ranking among those needs. Your PIC could then decide which needs should be priorities for this fiscal year.

## B. SELECTING TARGET GROUPS

To initiate the process of priority setting on the participant or training and development side, your PIC should select the groups who will be your targets for both training and development projects and services. You should do this by taking the data secured in your needs assessment into account. The decision of whom to serve is very much a local option and will be dependent on community needs.

To assist your PIC in making its decisions regarding target groups, you might want to establish certain factors or considerations to look at in making your determinations. Possible factors could be:

- relative overall severity of need of each participant group
- "employability" based upon education, length of unemployment of members of participant group

- percentage of participant group being served by other employment and training programs
- particular or special needs of subgroups (e.g., displaced homemakers; ex-offenders; alcoholics; Vietnam vets).

## Establishing Priorities

The pages which follow describe an experimental method which one CETA Prime Sponsor employed to select target groups. It is presented here not as an absolute way for correctly determining target groups, but as one method your PIC might want to consider to use or to modify to develop a process for target group selection which will work for you.

### 1. Model Procedure

The objective of this model procedure was to determine target group priorities through a process which would:

- enable a quantified assessment of the relative needs of target groups
- allocate funds in relationship to that need determination
- provide for the smooth resolution of internal planning and Council conflicts
- assure that decisions were reached within a specified time frame.

In this method, a target group's "priority" was defined as the group's proportion in the "universe of need" (all eligible CETA participants), in relation to the final funding proportion which it was to receive from the total amount of CETA funds to be expended. High priority groups would receive funds in a proportion greater than their proportionate presence in the total target group population for the CETA program.

Step 3

## 2. Applying the Process

The general process which was followed to apply this concept was as follows:

a. The Council members were oriented to the process of determining target group priorities.

b. The staff developed the following information and provided it to the members:

- Table displaying distribution of target group categories by age and race
- Manpower's funding proportion choices in the previous year for each target group
- Issue papers under the titles:
  - Handicapped persons
  - Persons on welfare
  - Spanish-speaking population
  - Veterans
  - Blacks
  - Unemployed workers 45 years of age or older.

c. Based upon a review of this information, a numerical weighting scheme consisting of the following scales was applied to each target group category:

| | | |
|---|---|---|
| Least Employ. | 1 2 3 4 5 6 7 | Most Employable |
| Least Obliga. | 1 2 3 4 5 6 7 | Most Obligations |
| In School | 1 2 3 4 5 6 7 | Out of School |
| Non-Veterans | 1 2 3 4 5 6 7 | Veterans |
| Handicapped | 1 2 3 4 5 6 7 | Non-Handicapped |

d. The results of this weighting by target group category were then reviewed by the Council in order to determine relative degrees of need and priorities for each category.

e. This data was then used to assign funding percentages to each target group.

Again, this process is not presented as the final word on target group selection, but as one attempt to help make the selection of target groups more rational and comprehensive. No matter which target groups your PIC selects, however, you will need to determine what training and development services and projects to undertake to assist them.

## C. DETERMINING OCCUPATIONS FOR TRAINING PROGRAMS

On the training and development side of your PIC's program ledger, you should determine, from among all of those "growth" occupations (due to job turnover or expansion) as revealed by your labor market analysis, which should be priorities for training programs to be sponsored through your PIC.

To make this determination, you should establish some criteria that you can use to review the growth occupations and their "suitability" for the participants in your program. Possible factors for which your PIC could establish specific criteria include:

- total number of projected openings for the year
- percentage of "entry-level" openings
- projected growth rate for a 5-year period
- hourly starting salary
- promotional potential
- nature of working environment and conditions
- skill or training requirements.

Steps for Selecting Training Occupations

Steps which you might follow to select those occupations which should be priorities for your training programs are listed below:

1. Review "growth" occupations as revealed by your PIC's labor market analysis.
2. Remove occupations with highest and lowest skill requirements.
3. Eliminate occupations not meeting acceptable level of wages, career potential, stability and working conditions.
4. Rate occupations with respect to size, growth, current placement potential and location.
    a. Remove occupations which have conclusively poor pre- and post training records.
    b. Profile remaining occupations as to entry requirements, training content, and estimate of training cost.
5. Recommend occupations according to target group priorities, anticipated economic conditions, cost/earnings considerations.
6. Select occupations on the basis of existing facilities, balanced mix of occupations, and placement potential as it appears at the time the list is prepared.

For the most part, the foregoing steps are self-explanatory. However, steps 5 and 6 require some further elaboration.

> Recommending Occupations: Once your PIC gets to the point of recommending occupations, it is essential to consider both the general needs and capabilities of your target group and the potential of the jobs themselves. In this regard, you should consider the age, education, work experience, and other important defining characteristics of your target groups. You should also take a close second look at the placement outlook for the period when trainees will be completing programs. Then,

you should eliminate any occupations not suitable for the target groups with priority or having uncertain placement potential.

One way of selecting among those occupations which remain is to compare expected training costs with benefits as measured by expected wages after placement. Based upon this comparison, you could eliminate occupations with costs excessively high in relation to expected earnings. If possible, you should develop standards with cutoff ratios in advance to help you do this.

Selecting Occupations: Once your PIC has reduced occupations to those which appear to be "best" for training, you should subject those occupations to a final round of consideration related to the capabilities of current training facilities and the necessity of providing training that will appeal to a range of participant interests and abilities.

Indeed, planning your PIC's program to make it most responsive to changing conditions may very well require the discarding of some training facilities, the acquisition of others, and the upgrading of others. You should make those determinations and then select those occupations which are most appropriate to your situation.

## D. DEFINING PARTICIPANT SERVICE NEEDS

In addition to determining the occupations which should be priorities for training programs to be sponsored through your PIC, at this point, you should also identify the priority service needs of those individuals who will constitute the population for your PIC's program. In certain instances, participants may require assistance or support in addition to training, such as:

- health care and medical services
- child care
- transportation
- temporary shelter
- financial counseling and assistance.

Step 3

In others, you may find that target group participants do not require occupational training, but just services such as:

- orientation to world of work
- counseling (employment-related and testing)
- employability assessment
- job development
- job search assistance
- job referral and placement
- Target Jobs Tax Credit - eligibility determination
- vocational exploration programs.

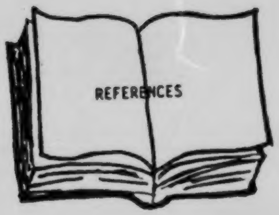
You should use your needs assessment data on the barriers affecting target group members to determine what needs other than or in addition to training your target group participants have. A simple format which your PIC might employ to make these determinations is presented below.

| Target Group | Major Barriers | Service Needs |
|---|---|---|
| | | |

The results of this assessment will enable you to determine the service needs you want to address through your PIC's program.

## CONCLUSION

In conclusion, once your PIC has defined its potential priority employment generating services, target groups, occupations for training programs, and participant service needs, then you have the basis for setting your PIC's programmatic goals.



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Step 4

## Redefine PIC Mission and Function

The purpose of this step is to reexamine your PIC's present definition of its mission in light of your assessments of community needs, PIC programmatic and operational performance, and your initial need priorities to determine whether they are still appropriate or need to be modified. This step involves clarifying PIC purpose, roles, and functions.

Key Concepts

- PIC Mission and Function - basic purpose, roles and responsibilities to be accomplished by PIC.
- PIC Purpose - statement of ultimate intent and results expected in the long term by PIC.
- PIC Role(s) - primary approach(es) to performing and discharging PIC mission and function.
- Advisor Role - reviewer and consultant to CETA prime sponsor.
- Broker Role - facilitator for connections between and among CETA program and others.
- Operator Role - designer and provider of direct services either to participants, employers, or other agencies.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | Excellent | Above Avg. | Average | Below Avg. | Poor |
|---|---|---|---|---|---|
| • Knowledge | | | | | |
| • Capabilities | | | | | |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

# INTRODUCTION

The CETA Regulations spell out the following broad purposes and roles for a Private Industry Council:

Purposes: To increase the involvement of the business community, including small business, minority business enterprises, and labor organizations in employment and training activities.

To increase private sector employment opportunities for economically disadvantaged persons.

Roles: The PIC shall:

- serve as an intermediary to assist the local employment and training structure to become more responsive to the business community.
- serve as the business and industry contact point in the local employment and training system, to present the private sector's view and recommendations for making programs more responsive to local employment needs.
- advise and provide direction to the local employment and training system on ways to increase private sector job placements for eligible persons.

Within this broad context it is up to your PIC to define its specific mission (purpose and roles) and functions more precisely. The process of defining purpose, role, and functions is iterative, beginning with the definition of purpose and then proceeding through functions. The discussion which follows highlights general considerations related to this definitional process, and then suggests a procedure which your PIC might employ to redefine its mission and functions.

Step 4

## A. LOOKING AT MISSION AND FUNCTIONS

There is a wide range of options available to your PIC in terms of purpose, roles, and functions.

### Purpose

A purpose is a statement of ultimate intent and results expected in the long term by the PIC. Your PIC's purpose should be drawn from the Title VII regulations and legislation and then adapted to express your local emphasis.

Although the Title VII regulations provide the initial mandate for your PIC, you should look at the employment and training needs within the local community and decide to broaden or restrict your scope and purview to address those specific needs.

### 1. Sample Statement of Purpose

An example of one PIC's statement of purpose follows:

- To increase substantially the involvement of the private sector in publicly-financed employment and training programs.
- To strengthen the capacity of the employment and training system to respond to the needs of both industry and the economically disadvantaged.
- To increase the access to good jobs for the economically disadvantaged and structurally unemployed.
- To improve the local investment climate and to increase coordination between employment and training and economic development programs.

### 2. Principles for Statement of Purpose

In developing your PIC's statement of purpose, you should be aware of the following principles:

- A statement of purpose should be as clear and specific as possible.
- There should be a distinct statement for each priority intent or result desired by the PIC.
- The PIC's purpose needs to be uniformly understood and embraced by all Council members.
- The PIC's purpose should be communicated clearly to the public and private sector.
- The purpose should be changed over time as local conditions and needs change.

Once you have agreed upon your PIC's statement of purpose, that will help to determine the role(s) that you want to play, and the specific functions or responsibilities that you want to assume.

## Role(s)

There is no single prescribed set of roles for a Private Industry Council.

### 1. Role Options

The three basic potential roles for a PIC, none of which excludes either of the others, are:

- Advisor - reviewer and consultant to local CETA Prime Sponsor in program planning, implementation, and review process.
- Broker - facilitator for connections between and among employers, Prime Sponsor, other providers of employment and training services, government agencies, and the community.

Step 4

- Operator - designer and provider of direct services either to participants, employers, or other agencies.

As suggested, the CETA Regulations require your PIC to play, at least, the advisor or consultant role in certain areas. Your responsibility, at this point, is to clarify the additional role(s) that your Council wants to assume, if any, with reference to the PSIP and to your local employment and training system generally.

No one role or set of roles is inherently superior to another. The important factor for your PIC to consider at this juncture is what is needed and what will work within the local environment. Your overriding responsibility is to ensure that your role decisions reflect the private sector's interests and contribute to a more effective employment and training delivery system.

## 2. Factors to Consider

Factors which you should take into account in making decisions about what role(s) your PIC wants to play include:

- limitations imposed by the amount of available resources
- the "perceived" status and capabilities of the local CETA system. Positive status and strong capabilities might lead you to assume an advisory role. Lesser status and capabilities may indicate the need for more extensive involvement
- local economic conditions. Poor economic conditions may suggest more active involvement.
- present strength and productiveness of private sector ties
- local political conditions
- nature of CETA-PIC relations

- jurisdictional status of the PIC. A variety of roles may be more difficult to carry out in multijurisdictional areas
- nature and level of PIC staffing.

## Functions

Based upon the role(s) that your Council selects, you should determine the functions/responsibilities that you wish to perform.

### 1. Basic Responsibilities

A list of mandated and other basic responsibilities for your PIC is presented below:

- To prepare a plan for the conduct of Title VII activities and programs in conjunction with the Prime Sponsor
- To participate fully in the formulation and development of the Prime Sponsor's plan for conduct of all other CETA programs
- To participate in and implement activities authorized under PSIP in cooperation with the Prime Sponsor.
- To set priorities to meet local business conditions
- To become a part of the overall governance structure of the entire prime sponsorship
- To provide genuine decision-making authority as representatives of the private sector
- To promote development of specialized labor market information upon which the PIC may make productive decisions and well-thought-out plans
- To offer large and small businesses opportunities to exert their leadership in PIC policy and programs

- To sustain continuous decision-making and program support activity for private sector initiatives
- To stimulate more comprehensive planning between the PIC and Prime Sponsor with more responsiveness to private sector needs

## 2. Other Functions

Examples of possible discretionary functions as they relate to the three basic roles identified earlier include:

### Advisor

- Identify factors which contribute to program effectiveness.
- Examine the performance of CETA and the Employment Service.
- Review and comment on plans of economic development agencies.

### Broker

Between individual employers and publicly-funded programs:

- Disseminate PIC program information to employers.
- Disseminate information on the Targeted Jobs Tax Credit and other incentive-type programs.
- Develop and market model contracts.
- Provide assistance to employers to reduce the administrative burden of participating in employment and training programs.
- Encourage employers to develop, and to coordinate with training agencies, job skill requirement forecasts.

Between employers (as a group) and other groups or institutions in the community:

- Coordinate Title VII programs with other employment and training activities.
- Develop linkages between school and work.
- Develop linkages between employment and training and economic development programs.

## Operator

Programs for workers:

- Provide world of work training.
- Provide vocational skills training.
- Provide training and development and support services.
- Provide entrepreneurship training.

Programs for employers:

- Provide services linked to CETA training and placement.
- Provide economic development and job creation related services.

Programs for education/employment and training staff:

- Promote exposure to private industry.
- Provide assistance in accomplishing specific tasks.

Again, as with roles, there is no preferred set of functions or responsibilities. The essential considerations should be that (1) your PIC performs those functions and assumes those responsibilities required given local conditions and needs, and (2) that your functions flow from and relate directly back to your definition of purpose and roles.

## B. MAKING DECISIONS

Your PIC should employ whatever process you feel will be most useful and expeditious to make its decisions regarding mission and functions. A process which one PIC employed to make these decisions is outlined below:

a. The staff developed an information paper entitled Roles of the Private Industry Council. This paper summarized the options available to the PIC and described activities which might be undertaken in each role.

b. This paper was distributed to the PIC members.

c. A meeting was convened to discuss goals and activities.

d. At the meeting, a summary outline of the information paper was distributed, as were pencils and paper.

e. Each participating member was invited to write out his/her priorities for the PIC.

f. The priorities were then read aloud and recorded on a flipchart.

g. A discussion followed and key points of the discussion were also summarized on the flipchart.

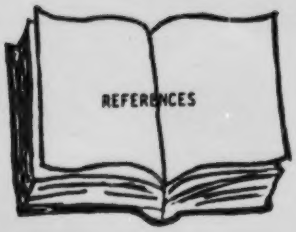
h. After that meeting, all written responses from members were tabulated according to the outline of the information paper.

i. The results from this tabulation and the interaction from the meeting were analyzed by staff to develop themes including:
   - sketch of PIC's possible long-term role
   - possible functions to be performed
   - type of projects/activities to be supported

j. This information was fed back to Council at another meeting and a decision was reached on the PIC's mission and functions.

## CONCLUSION

In conclusion, redefining your PIC's general mission and functions is an essential precondition to establishing its programmatic orientation and strategy.



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Chamber of Commerce of the United States, The New Private Sector Initiative Program (Washington, D.C.: Chamber of Commerce of the U.S., 1979).

Step 5

## Refine PIC Organizational and Operational Framework

The purpose of this step is to reexamine your PIC's basic working arrangements to see if they are still viable and to revise and refine them as necessary. Areas to look at include: structure, staffing, operational procedures, and organizational status.

Key Concepts

- Structural Issues - size and composition, membership selection processes, and committee types for PIC.
- Staffing Issues - arrangement for, level, nature, and division of labor among those individuals to provide staff services forPIC.
- Operational Issues - Council by-laws; meeting procedures; and processes for determining roles and responsibilities of members and staff, and selecting officers and assigning their duties.
- Organizational Status Issues - fundamental arrangement (e.g., position within Prime Sponsor, incorporation, part of existing local business organization) for PIC's operation.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excel-lent | Above Avg. | Aver-age | Below Avg. | Poor |
| • Capabilities | Excel-lent | Above Avg. | Aver-age | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Your PIC has enormous latitude in deciding on its methods of organization and operation. In this step, you use the data gathered and analyzed in assessing your organizational and operational performance to decide whether to initiate changes. Areas in which you might want to modify working arrangements are:

- structure
- staffing
- operational procedures
- organizational status.

## A. LOOKING AT STRUCTURE

The size, composition, and structure of your Council itself should be dictated by local needs, interests, and the mission and functions which your PIC establishes for itself. Factors which you should consider in reexamining the nature of your PIC include:

- relationships with other CETA programs
- physical requirements for meetings
- manageability of PIC for staff and chairpersons
- workload requirements upon Council members
- representativeness of the Council in terms of composition (Are small and minority businesses adequately represented? Does the Council reflect the largest possible segment of community concerns?)
- staff and services necessary to support the PIC.

Specific items which merit special reconsideration under the structural heading include your PIC's:

- Membership Selection Process
- Size and Composition of the Council
- Committee and Subcommittee Structure

Step 5

## Membership Selection Process

The Title VII legislation provides that as a PIC is being established, the Prime Sponsor will appoint a chairperson and members. Once the PIC is established, a chairperson from business and industry is selected. While it is the responsibility of the chief elected official to appoint members, PIC members are often involved in nominating new members for the PIC. Therefore, at this point, you should examine your PIC's present process of appointing members to decide whether to alter it. To the extent feasible, you should attempt to forge a supportive and cooperative relationship to co-jointly select/ recommend PIC members with the Prime Sponsor staff. In this regard, you should ensure that the arrangement which exists now or is developed is one which benefits business, the CETA-eligible population at large, the community, and the government.

## Size and Composition of Board

There is no ideal PIC size. Your Council should be large enough to be truly representative of the private sector and include representation from other groups as mandated by the Title VII legislation. One important point to remember is that an extremely large PIC membership is unwieldy and creates complex organizational problems.

In terms of your PIC's composition, Title VII legislation requires that 51% of the PIC membership come from business. Title VII legislation also addresses the participation of small and minority businesses as well as members representing labor unions, community-based organizations, educational institutions, and economic development councils. You should decide the relative composition of your PIC based upon local needs. If you feel that "business speaks better to business," you may want to increase private sector representation to more than 51%. On the other hand, based upon local circumstances, you may surmise that a broader-based representation is more important.

Another important consideration related to composition is the type of person that your PIC wants to get on the board.

Options include:

- heads of major corporations or organizations who can lend their prestige and who can influence the local community as a whole to participate in and support the activities of the PIC
- company operational managers who may offer less influence but either greater technical expertise or potential for direct hiring of CETA-eligible participants
- small business (500-525 persons in size) owners who can be enlisted to expand the pool of potential employment opportunities for CETA-eligible participants
- top level representatives from governmental economic development agencies or similar private sector investment concerns who can cooperate in sponsoring joint ventures.

Factors to take into account in determining the most appropriate size and composition of your Council include:

- the size of the labor market area
- the nature of the local business establishment - the number and type of local business organizations and groups
- the nature of the existing CETA Advisory Council
- the staff and services support required to accomplish PIC activities.

Regardless of the final size and composition of your Board, your PIC should attempt to have or secure individuals in its membership who have:

- a conviction about the purpose and functions of the PIC
- a commitment to the mission of the PIC
- a willingness to devote time and effort to the PIC.

## Committee and Subcommittee Structure

The structure normally used to facilitate Council operations is the use of the committees. Standard committees within PICs normally include:

- Executive committees
- Standing committees
- Ad hoc committees

### 1. Types of Committees

Executive Committee: Executive committees are usually composed of the Council officers, the chairpersons of the standing committees and other members as prescribed in the by-laws. The chief function of the executive committee is to plan the work of the Council and to exact responsibility by providing agenda and other guidelines for action. Another of the executive committees roles is to provide guidance to the staff between Council meetings. Executive committees also normally have authority to make important decisions in emergency situations.

Standing Committees: Standing committees are established on a permanent basis and may be described in the PIC's by-laws. Optional ways for your PIC to organize and structure its standing committees are:

- Around program activities such as:
  - OJT/skills training
  - pre-employment training
  - marketing.
- Around industry groupings such as:
  - construction
  - manufacturing
  - transportation.
- Around operational or functional areas such as:
  - planning
  - monitoring and evaluation
  - finance
  - public relations
  - personnel.

Ad Hoc Committees: These committees are convened on an as-needed basis to look at special issues or to study problems (e.g., corrective action situations; emergency community situations) and to develop findings, recommendations, and appropriate alternative methods which are then brought to the whole Council.

### 2. Questions of Design

At this stage, your PIC should look at its overall committee structure and each subcommittee to see if they are:

- adequate in design;
- defined most appropriately, given local needs;
- useful for decision-making purposes
- sufficiently comprehensive in their coverage (Do you frequently have to create ad hoc committees?)

### 3. Questions of Membership

The issue of member involvement is closely related to committee structure. As a result, at this point you should also reexamine the membership of your PIC's committees to ensure that membership is proper. Factors to take into account include:

- the participation of as many members as possible on one or more subcommittees
- the selection of at least one individual who has expertise or experience in the area of the subcommittee
- the assignment of members to subcommittees in which there are motivation and interest to serve.

In summary, the most effective way for your PIC to organize and use its committees will be determined by the characteristics of your local community and the nature of your Council.

## B. LOOKING AT STAFFING

As it is with structure, there are a variety of possibilities for staffing PIC's, ranging from part-time CETA staff on the one hand, to full-time PIC employees on the other. Your need is to determine whether the staffing mode presently being used by your PIC is satisfactory. This will be dependent on the way you are redefining your PIC's purpose, roles, and functions.

Important considerations here should be whether your PIC's staffing level is adequate, and is the division of labor among staff persons equitable. The central ingredient in this area, regardless of how your PIC is staffed, is to ensure that your PIC has a meaningful process for overseeing and directing staff performance and a mechanism or arrangement for hiring, training, and replacing staff as needed to promote continued competency.

## C. LOOKING AT OPERATIONAL PROCEDURES

Another essential area to reflect upon is your PIC's operational procedures and methods. The assessment data will allow you to determine whether your PIC's administrative methods and processes for discharging the PIC's business and responsibilities are adequate or whether they need to be altered. Administrative items that you should look at include:

- Council By-Laws
- Meeting procedures (formal and informal process)
- Selection and duties of officers
- Roles and responsibilities of Council members, staff.

By-laws differ depending upon local circumstances, but they usually contain the following sections:

- name and purpose of the PIC
- a description of the board's organization, powers and member selection process
- procedures and scheduling of members
- duties and selection of officers
- duties and powers of committees
- executive director's responsibilities
- procedures for amending the by-laws.

Meetings should be scheduled on a regular basis depending on a Council function and needs. Formally, PIC meetings should be run according to some form of parliamentary procedure. Informally, the meetings should be structured to promote the levels of attendance at, participation during, and interaction within them which makes for an effective Council.

An important part of making your PIC work well is how you select officers. Therefore, you should reexamine your present approach to make certain that it is selecting officers in a way that is open, fair, and representative.

In addition, you should ensure that the roles and responsibilities of Council members and staff are clear. In this regard, you should have, at a minimum:

- the by-laws referred to earlier
- organizational chart for the PIC
- job description for staff members
- operating procedures for the Council
- description of committees' roles and responsibilities
- listing of committee assignments
- information on the relationships of the PIC to the Prime Sponsor, business and community groups, etc.

Finally, as part of its determination with reference to operational procedures, your PIC should examine its present process for planning, management and evaluation to ascertain whether the process needs revision.

## D. LOOKING AT ORGANIZATIONAL STATUS

One last important concern should be your PIC's organizational status. Again, as with the other areas under this heading, there is no single prescribed PIC organizational model. Options which are possible include:

- advisory position within CETA Prime Sponsor's system
- incorporation as non-profit organization
- segment of existing local business organization, e.g., Chamber of Commerce, National Alliance of Business
- multijurisdictional PIC covering more than one Prime Sponsorship.

To a certain extent, your organizational status will be directed by your purpose, roles, and functions. Factors which your PIC should take into account in determining what your status should be include:

- What will the impact be on PIC role and program activities?
- What will the impact be on overall CETA programming?
- What will the impact be on the ability of the PIC to represent and foster private sector involvement?
- What will the impact be on the PIC staffing arrangements?
- What will the impact be on the PIC-Prime Sponsor relationship?

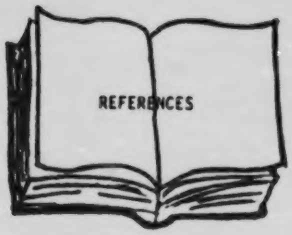
- How does the business community perceive CETA?

- Does the PIC want to be strictly an advisory body or does it want to operate programs?

Regardless of the status which you determine is correct for your situation, at a minimum, you should ensure that you have a direct and clear relationship to the Prime Sponsor, the Prime Sponsor's advisory council, and to the chief elected official in your community.

## CONCLUSION

The net result of this step should be that your PIC institutes all alternative organizational and operational arrangements necessary to eliminate those barriers which you feel have impeded effective performance to date.



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Step 6

## Formulate Goals and PIC Strategic Plan

The purpose of this step is to develop a formal written statement of your PIC's goals and strategic plan. PIC goals are primarily of three types: Employment Generating Services; Participant Services - Training and Development; and Organizational. Developing your strategic plan involves establishing priority goals, attaching a time frame for their achievement, and making a rough determination of resources to be allocated to achieve each goal.

Key Concepts

- Goal - broad, unquantified statement of an outcome or result which PIC wants to achieve.
- Strategic Plan - summary statement which (1) details all the goals PIC wants to accomplish in the upcoming year expressing their relative importance; and (2) presents longer-term goals and establishes general time parameters for their accomplishment.
- Strategic Decision-Making Process - method which PIC chooses to employ to select its goals and to develop its strategic plan.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excel-lent | Above Avg. | Aver-age | Below Avg. | Poor |
| • Capabilities | Excel-lent | Above Avg. | Aver-age | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

The final step in this stage is converting the results of your assessments and performance analysis, and your PIC's preliminary decisions on initial need priorities, into goals and a strategic plan.

A goal is a broad, unquantified statement of an outcome or result which your PIC wants to achieve. A strategic plan is a summary statement which details all of the goals you want to accomplish in the upcoming year and expresses their relative importance. In addition, the plan also presents those goals which are longer-term in nature and establishes some general time parameters for their accomplishment.

## A. SETTING GOALS

There are three major areas in which your PIC can set goals:

- Employment Generating Services
- Participant Services - Training and Development
- Organizational

### Goal Setting Process

If you've already established the priority of the needs of employers, occupations, and target groups, and your PIC itself, and identified any barriers to be overcome or reduced, then establishing your PIC's goals is a straightforward process and can almost be done by formula as shown below:

Goals

- Employer needs + barriers to overcome = Employment Generating Services

Step 6

## Goals

- Priority occupations + training needs + target groups
- Target participants + assistance needs + barriers to overcome

= Participant Services - Training and Development

- PIC internal needs + barriers to overcome = Organizational

Example goals as they relate to each of the above categories follow:

| AREA | NEEDS/BARRIERS | GOALS |
|---|---|---|
| Employment Generating Services | . Insufficient labor market data for PIC decision-making purposes. | . To improve the quantity, quality, and decision-making value of local labor market information. |
| | . Lack of knowledge in the business community regarding PIC programs. | . To create and implement a comprehensive, ongoing marketing program for PIC activities. |
| | . Inadequate relationship between public and private sector economic development efforts. | . To establish a coordinated, long-term economic development linkage between the public and private sectors with the result of creating greater job opportunities for economically disadvantaged persons. |
| Participant Services - Training and Development | . Large number of unfilled machinist positions + high percentage of unemployed black and Hispanic males between ages of 18-35. | . To enable black and Hispanic males, ages 18-35, to secure unsubsidized machinist jobs in the private sector. |
| | . Lack of opportunity for upgrading within major local private sector industries which employ significant numbers of lower salaried individuals in entry-level positions. | . To institute effort with major employers to upgrade employees from entry-level jobs to positions of greater skill. |
| | . Inadequate understanding and development of general work skills and habits among youths, 18-21. | . To enhance the employability of youths, ages 18 to 21. |
| PIC Organization | . Poor planning, management and evaluation process - unclear definition of responsibilities and inadequate system design. | . To redesign PIC's PME Process and assign definite PME responsibilities to both staff and members. |

An Example

An example of a set of strategic goals established by one PIC is presented below:

- To intensify efforts to directly link program development and evaluation of training programs with the needs of business and industry in the community.
- To increase the placements of CETA-eligible persons in the private sector through various employment and training programs.
- To establish a coordinated, long-term economic development linkage between the public and private sector within the community with the result of creating greater job opportunities for economically disadvantaged persons.
- To improve communication between local businesses and educational institutions.
- To publicize and promote Private Industry Council activities and programs.
- To establish the relationship between economic development/manpower goals and transportation policy.
- To establish and strengthen linkages with national policy-making organizations that influence the future direction of manpower policy.

The foregoing are provided only as examples. The areas in which your PIC will set goals and the nature and number of those goals will be determined by the results of your own needs analysis and priorities.

## B. DEVELOPING THE STRATEGIC PLAN

Setting goals, however, isn't the difficult part of establishing your PIC's strategic plan. The more demanding

Step 6

task is deciding what your PIC's mix of goals should be and which goals should take precedence. What should be accomplished this year and what should be postponed? How should this year's resources be apportioned?

This determination is truly your option. The CETA Regulations only stipulate the percentages of your Title VII funds which can or have to be allocated to each category of activities:

- Direct participant services - at least 50%
- Employment generating services - up to 30%
- Administrative activities - no more than 20%
- Economic development activities - 10% incentive for involvement.

Within those guidelines, it's up to you to determine what relative priorities, mix of goals, and eventual distribution of dollars can best meet the employment and training needs within your community. Factors that should be taken into account in making these decisions between and among goals are:

- appropriateness to your PIC's mission
- appropriateness to economic conditions
- immediacy of need
- responsiveness to employer needs
- responsiveness to target group needs
- acceptability to community
- obstacles to achievement
- tradeoffs in outcomes associated with selection of one goal over another.

## Strategic Decision-Making Process

As with the earlier steps in this stage, the process you employ to make your decisions on the strategic plan should be the one which will work best for you given your Council's and local circumstances. A possible method--similar to that for defining your PIC's mission and functions--for developing the strategic plan is described below:

a. Have staff develop briefing papers describing the results of the:

   - assessment of PIC program performance
   - assessment of organizational and operational performance
   - initial need priorities
     . EGS
     . target groups
     . occupations
     . participant service needs
   - PIC mission and functions

   and listing as many goal options as possible based upon these results.

b. Disseminate papers to all Council members.

c. Have Council members read and ask them to check off their priority goals for the PIC from a list of goal options.

d. Convene the meeting and have all Council members report out goals selected. Record them on a flipchart. Use hash marks to indicate goals selected by more than one member.

e. After all members have reported have group discussion focus primarily on those goals on which a number of the members agreed.

f. Following the discussion, attempt to achieve consensus on those goals which should be addressed in the upcoming year and which should be longer term.

g. After this determination, attempt to get a priority ranking of goals for the upcoming year through consensus.. If this is impossible, ask members to vote to determine rank order for all goals for year.

h. Once a priority order is established, end the meeting.

Step 6

i. Prepare results of the meeting--both upcoming year goals in order and other long-term goals for PIC--and send to the members along with total budget estimate information.

j. In advance of the meeting, ask each member to allocate a percentage of the budget to each goal.

k. Convene a second meeting to allow members to allocate rough percentages of the budget to each goal.

l. Have members report allocations. Record them by each goal on a flipchart.

m. Have members discuss their relative allocations to attempt to achieve a consensus on the budget amount to be allocated for each goal without averaging.

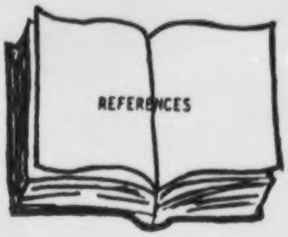
n. If this is impossible, average all responses to each goal. Have members review averages. Then, have members discuss again to seek tradeoff positions.

o. Obtain either an absolute percentage or percentage range allocable to each goal.

p. After the meeting, prepare a written statement describing PIC's strategic plan.

Regardless of the method that your PIC employs to establish its strategic plan, once your PIC has reached consensus on its goals, their relative priorities, and the rough percentage of the budget to be allocated to each goal, this information should be recorded as the PIC's strategic plan for the year.

In addition, the plan should list all other longer-term goals which are important for your PIC and which will be addressed in succeeding years. The portion of the strategic plan relating to next year provides the initial substantive parameters for the full scope of programmatic activities to be undertaken by your PIC.



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## C. ESTABLISH PROGRAM SCOPE

Purpose: To translate the broad goals and directions set out in the strategic plan into specific program objectives and projects for achieving them.

Steps

1. Define Appropriate Tactics
2. Draft PIC Program Objectives
3. Specify Projects and Scope

Step 1

## Define Appropriate Tactics

The purpose of this step is to decide what tactics you will employ to achieve the programmatic goals which you have set in your PIC's strategic plan. Programmatic tactics can be separated into two major categories: participant services and employment generating services.

Key Concepts

- Tactic - general means or broadly-formed approach for achieving a goal or an end.
- Participant-Related Tactics - classroom training - vocational; classroom training - employability; on-the-job training; upgrading; retraining; employment and training services; and supportive services (e-g., health and child care).
- Employment Generating Tactics - labor market analysis; marketing; economic and community development; incentive programs (e.g., TJTC); and linkage creation.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge    Excellent | Above Avg. | Average | Below Avg. | Poor
- Capabilities    Excellent | Above Avg. | Average | Below Avg. | Poor

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

The first step toward converting your PIC's strategic plan into a workable reality is defining what tactic(s) is(are) most appropriate and should be used to accomplish each goal that you have set. A tactic is a general means or broadly-formed approach for achieving an end.

### A. CATEGORIES OF TACTICS

The range of tactical options available to your PIC is wide. Again, as with your goals, these options can be broken down into the categories of participant services and employment generating services.

#### Participant-Related Tactics

Major participant-related tactics include:

- Classroom training (vocational): training conducted away from a job that provides the participant with specific technical knowledge and skills necessary to perform successfully in a job.
- Classroom training (employability): training conducted away from a job that provides the participant with the fundamental knowledge, skills, abilities, and attitudes necessary to secure and hold an unsubsidized private sector job.
- On-the-Job training: training and supervision provided to participants hired by private sector firms to enable them to develop all necessary occupational skills while employed in a productive job in the private sector.
- Upgrading: skill training (either classroom or OJT) of individuals locked in low paying, dead-end jobs to enable them to qualify for positions requiring greater skill within the same business enterprise.

- Retraining: skill training (either classroom or OJT) in occupational skill shortage areas to teach participants new skills distinct from those already possessed.

- Employment and training services: services to enhance an individual's capabilities and opportunities for securing unsubsidized employment. These services include but are not limited to:
  - orientation to world of work
  - counseling (employment related and testing)
  - employability assessment
  - job development
  - job search assistance
  - job referral and placement
  - Targeted Jobs Tax Credit - eligibility determination
  - vocational exploration programs

- Supportive services: services to eliminate possible barriers to successful employment. Services include but are not limited to:
  - health care and medical services
  - child care
  - transportation
  - temporary shelter
  - financial counseling and assistance

Within this general range of participant tactics, there are two specialized tactics which deserve highlighting because of their particular relevance and currency. These tactics are: customized training, and pre-employment and job search training.

### 1. Customized Training

Customized training can be either classroom training or OJT or a combination of the two. It differs somewhat from both, however, not because of the delivery method, but because of the method of development.

Customized training programs are normally developed by having a local employer or employers identify "high demand" occupations in which skill training is required, and then participate in the curriculum development process to ensure a training program which is relevant to the local business needs. The customized training program oftentimes involves the participation of the same employer(s) in providing instructors and/or training facilities at company sites and OJT slots and eventually full-time unsubsidized jobs for program participants.

The major advantage for your PIC of employing the customized program tactic is that it ensures a program which is directly responsive to the needs of the private sector. To many, this tactic epitomizes the intention of the PSIP.

### 2. Pre-Employment and Job Search Training

Pre-employment and job search tactics involve no occupational or skills training. Instead, they are designed to make the participant employable. That is, (1) to prepare the participants for work by developing their motivational, self-assessment, resume writing, and interviewing skills; and (2) to enable the participants to secure unsubsidized private sector jobs on their own. The major advantage to your PIC of employing the pre-employment and job search tactic is that it is relatively low cost and quick turnaround in nature.

The limitation of the tactic, of course, is that it is only appropriate with those participants who are already job ready in terms of skills and abilities, and for those occupations which do not have high skill requirements.

## Employment Generating Tactics

The tactics available to your PIC under the Employment Generating heading are even more varied than those which are participant-related. Some of the most common major tactics your PIC can choose from include:

- Labor Market Analysis: studies of local businesses to identify the particular labor market needs within the community.

- Marketing: activities to expand awareness, explain benefits, and provide assistance to local businesses to increase their participation in CETA programs.
- Economic and Community Development: efforts to attract, retain, and/or expand businesses to enhance economic and community conditions within local area.
- Incentive Programs: programs created to offer or to promote special benefits, such as Targeted Jobs Tax Credit, to induce private sector employers to hire CETA-eligible participants.
- Linkage Creation: efforts to forge new relations with existing institutions (i.e., government agencies, business groups, community groups, economic development groups, labor unions, local planning bodies, and schools/colleges) to improve employment and training capabilities within the local community.

## B. SELECTING YOUR TACTICS

The foregoing list of tactics for participant and employment generating services are meant to be instructive and not exhaustive. These tactics are not important as ends in themselves, but only as they relate to the goals you have set for your PIC. To a large degree, each of your goals will imply, and the analysis which preceded its development will enable you to select, a primary tactic which will be appropriate to your end.

### Examples

The examples which follow show the relation between goals and barriers, and tactics which might be selected in response to them.

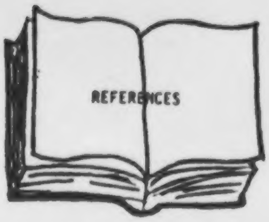
| GOAL | PRIMARY BARRIER | APPROPRIATE TACTIC(S) |
|---|---|---|
| To enable unemployed black or Hispanic males, ages 18-35, to secure unsubsidized clerical jobs in the private sector. | Knowledge and skill deficiency. | Classroom training: vocational - machinist skills |
| To improve the quantity, quality, and decision-making value of local labor market information. | Inadequacy of standard source data. | Labor market analysis - local employer survey |
| To establish a coordinated long-term economic development linkage between the public sector and private sector. | Inadequate present relationship | Linkages and economic development |

## Process

Given this direct relationship between goals, barriers, and tactics, the process which your PIC can employ to select tactics is fairly straightforward. You can use the general format set out below to select your tactics.

| GOAL | BARRIER | TACTIC |
|---|---|---|
| | | |

Your PIC should select a primary tactic to achieve each goal that you have set. The goal plus the tactic provide the basis for setting your PIC's programmatic objective and beginning the process of shaping your PIC's total program of activities and services.



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Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Step 2

## Draft PIC Program Objectives

The purpose of this step is to establish your PIC's program objectives for the fiscal year. Objectives are specific statements of what your PIC wants to accomplish. There are two major types of objectives: Participant-Related; Employment Generating Services Related.

Key Concepts

- Objective - a quantifiable, or in some other way measurable, expression of what is to occur specifically as a result of a program tactic.
- Participant-Related Objective - answers the questions of who, how many, what means, and primary results expected.
- EGS-Related Objective - answers the question of "how well". in terms of time, quantitative measure, qualitative value, and cost efficient/effectiveness/effort value.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Once you have goals and tactics related to them, you translate this information into your PIC's program objectives for the fiscal year. Program objectives tell you what your PIC is going to do and how well.

A program objective should be either a quantifiable, or in some other way measurable, expression of what is to occur specifically as a result of a program tactic. Your PIC's program objectives help to narrow the focus of your goals and provide the bridge between the more abstract or conceptual strategic planning stage and the more concrete stage of operational planning. They also provide criteria against which to measure programmatic performance at the end of the Fiscal Year.

## A. SETTING PROGRAM OBJECTIVES

It's useful to look at program objectives in the two categories described earlier:

- Participant-Related
- Employment Generating Services (EGS) Related

The process of setting objectives for each category is similar, but the actual mechanics are slightly different.

### Participant-Related Objectives

Participant-related objectives should answer at least four basic questions:

Who - description of people to be served

How Many - number of people to be served

What Means - tactic (primary service or activity to be provided)

Results - what primary final outcome is expected.

An example of a participant-related objective based upon a goal set earlier follows:

> Goal: To enable unemployed black or Hispanic males, ages 18-35, to secure unsubsidized machinist jobs in the private sector.

The goal tells you:

> Who: black and Hispanic males, ages 18-35
>
> Results: unsubsidized machinist jobs in the private sector.

The tactic tells you:

> What Means: classroom training.

At this point, it's up to your PIC to answer the question of how many in order to create a program objective. Let's say that your Council answered that question as follows:

> How Many: 75.

Then, your PIC's program objective related to this goal would be:

> Objective: To enable, through classroom training, 75 unemployed black and Hispanic males, ages 18-35, to secure unsubsidized machinist jobs in the private sector.

While the above is sufficient for a program objective, if it chooses, your PIC can make its objective even more precise by answering other questions regarding results, or how well, e.g., at what cost, quality of job. An expanded objective incorporating answers to these questions follows:

> To enable, through classroom training, 75 unemployed black and Hispanic males, ages 18-35, to secure unsubsidized private sector positions having an average wage of $5.25/hr. at an average cost of $1,500.00 per participant.

Your PIC should make its participant-related program objectives as precise as you feel they need to be for program management purposes. The advantage of more detailed program objectives is that they provide clearer direction for all planning, management, and evaluation activities to follow.

EGS-Related Objectives

Given the broader scope and somewhat less tangible nature (e.g., linkages, improved business relations) of Employment Generating Services, as opposed to those activities which are directly participant-related, it will probably be more difficult for your PIC to set objectives from goals related to them. It's just as necessary and important, however.

Fortunately, setting your EGS objectives can be as straightforward a process as setting your participant-related objectives. Your goal tells you the general end you want to achieve and your tactic tells you what you need to do in order to achieve that end (e.g., conduct a local employer survey). To develop an EGS-related objective, you need only to determine "how well." To determine "how well" you should answer the following questions:

- By what time or within what time frame should the project be completed?
- Is there a quantitative measure or value which can be assigned to the project (e.g., contacts to be made, reports to be produced, meetings to be held)?
- Is there a qualitative value which can be assigned to the project (e.g., number of acceptable errors, adherence to some established external criterion, acceptability to the Council)?
- Is there a cost-efficient/effectiveness/effort value which can be assigned to the project (e.g., cost per report produced, cost per person placed, number of person days to be spent on project)?

Three examples of EGS-related objectives pertaining to goals described earlier and answering all of the above questions follow:

Goal: To improve the quantity, quality, and decision-making value of local labor market information.

Objective: To complete, within 6 months, a local employer survey of 100 selected leading industries in order to identify valid and reliable data on entry-level job opportunities and salary level of positions at a total survey cost of no more than $10,000.00.

Goal: To establish a coordinated long-term economic development linkage between the public and the private sector with the long-term result of creating job opportunities for economically disadvantaged persons.

Objectives: To create a joint committee to be composed of representatives from public sector economic development agencies and private sector investment firms which will develop within the next 9 months comprehensive local economic development strategy to benefit CETA-eligible participants at a cost of 2 person months of effort from PIC staff.

To coordinate with the City Development Department to ensure that 20% of construction jobs being generated on the two downtown redevelopment projects, supported primarily through EDA and UDAC funds, are set aside for CETA-eligible participants.

Again, your EGS objectives need not be this detailed. At a minimum, however, for each EGS-related objective your PIC should specify the end product or result it expects and associate at least one "how well" measure (i.e., time, quantity, quality, cost) with it.

## B. DEVELOPING YOUR OBJECTIVES

To set your PIC's objectives, all that you have to do is apply the procedures described in the preceding pages to each goal. A format for doing that is presented below.

Participant Goal: ______________________

Who: ______________________________________

How Many: _______________

What Means: ______________________________

Primary Result: __________________________

How Well (e.g., avg. cost/participant, avg. wage)

__________________________________________

EGS Goal: ______________________________

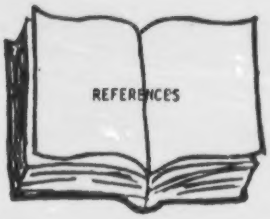
Time: ______________________________________

Quantity: ________________

Quality: __________________________________

Cost: ____________________

There are no absolute numbers of program objectives that ought to be set by any PIC. The essential consideration should be, as noted earlier, that your PIC set at least one objective for each goal/tactic that you intend to undertake.



Manpower Administration (now Employment and Training Administration [ETA]), Manpower Program Planning Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Step 3

## Specify Projects and Scope

The purpose of this step is to identify the specific projects which your PIC will support in this fiscal year. This involves: determining the number and type of projects to be run; defining the objectives and scope of each project; and allocating resources to the projects.

**Key Concepts**

- Projects - discrete services and activities to be sponsored through PIC in order to achieve its programmatic objectives.
- Project Scope - specific objectives to be accomplished and services or activities which are to comprise each project.
- Project Resource Allocation - estimation of amount to be expended on each project to ensure cost feasibility and compliance with original program plan.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

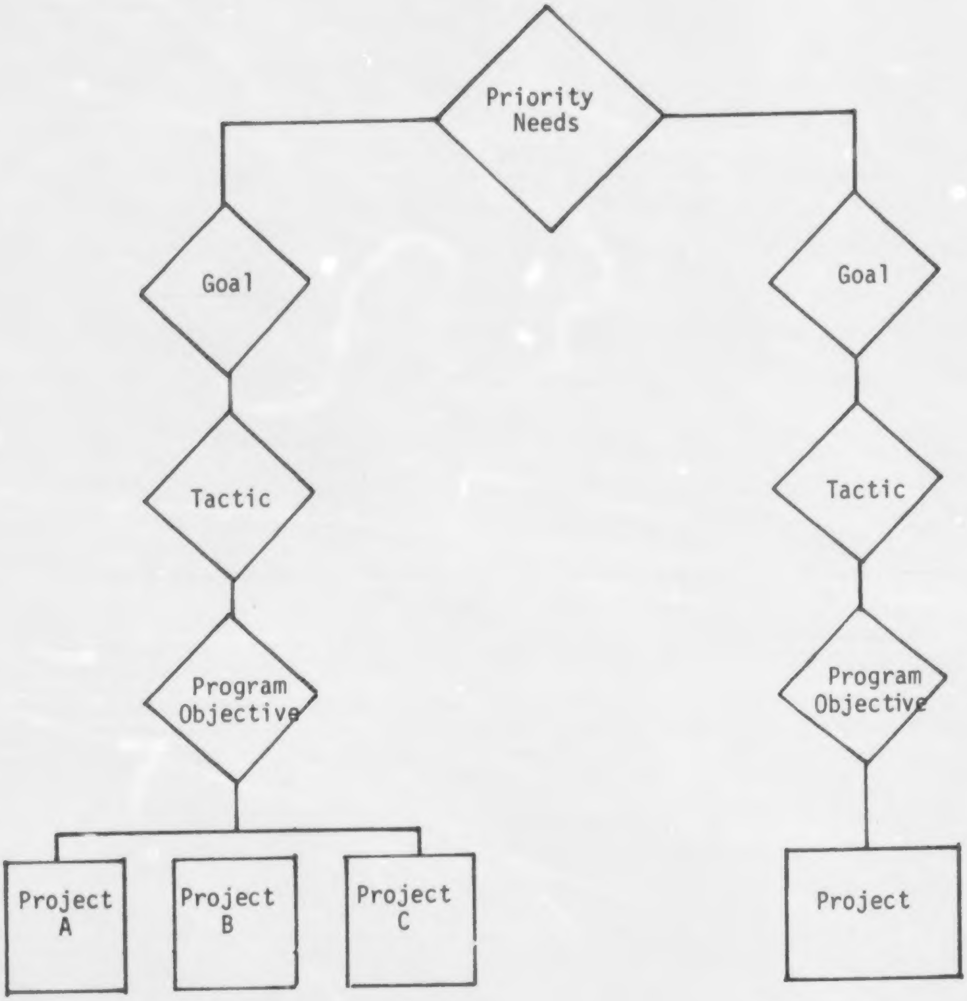
The last step in the development of the preliminary general design of your PIC's program for the fiscal year is to identify those specific projects to be supported. Projects are the discrete services and activities to be sponsored through the PIC in order to achieve its programmatic objectives. There are three tasks involved in project specification:

- Determine number and types of projects.
- Define objectives and scope of each project.
- Allocate resources to projects.

## A. DETERMINING PROJECT NUMBER AND TYPES

Projects are derived directly from programmatic objectives. In some instances, you may have only one project per objective. In others, you may have as many as three or four projects. This fact is represented in the flow chart on the following page which summarizes PIC activity to this point in decision-making terms.

## PIC Planning - Decision-making Flow Chart


Priority Needs
Goal
Goal
Tactic
Tactic
Program Objective
Program Objective
Project A
Project B
Project C
Project

An example of a program objective for which you would probably have only one project is the EGS objective related to labor market analysis:

> Objective: To complete, within 6 months, a local employer survey of 100 selected leading industries in order to identify valid and reliable data on entry-level job opportunities and salary level positions at a total survey cost of no more than $10,000.00.

The sole project to be undertaken with reference to this objective would be a local employer survey.

On the other hand, there are other areas in which your PIC might initiate multiple projects. For example, referring back to the participant-related objective for machinist positions:

> To enable, through classroom training, 75 unemployed black and Hispanic males, ages 18-35 , to secure unsubsidized private sector positions having an average wage of $5.25/hr. at an average cost of $1,500.00 per participant.

It is possible that your PIC might want to split up this objective into two projects or more with each project being operated by a different service deliverer (e.g., community college; private sector proprietary institution, non-profit community-based organization).

As another example of a program objective which would be met through multiple projects, let's look at an objective related to an example goal stated earlier in the text:

> Goal: To institute a program with major local employers to upgrade employees from entry-level jobs to positions of greater skill and higher salaries.
>
> Objective: To institute a program with major local employers to upgrade at least 200 employees from entry-level jobs to positions of greater skills and higher salaries.

Obviously, this objective calls for the designation of a specific number of employees by name and participants per employer for the upgrading program as an integral part of the planning process.

## B. SETTING SCOPE AND OBJECTIVES

Once the number and type of projects for each objective are clarified, your next task is to establish the specific

Step 3

objectives and scope for each project. This process begins with breaking the program objectives down and assigning specific objectives to each project. This is done by answering the same questions posed earlier to establish your PIC's program objectives related to Participant and Employment Generating Services.

| Participant | Employment Generating Services |
|---|---|
| Who? | Primary Result? |
| How Many? | How Well? |
| What Means? | - Time? |
| Primary Result? | - Quantity?<br>- Quality? |
| How Well? | - Cost? |

The end result of this process should be a clear statement for each project of the:

- principal outcome in measurable terms
- primary service or assistance to be delivered.

Establishing Project Scope

The second task here is to determine the basic scope or services and activities to comprise each project. This is relatively simple for your PIC's EGS projects, since they will ordinarily consist of a single primary activity (e.g., labor market analysis, linkage project, economic development effort) and a set of sub-activities directly linked to that project. However, your participant-serving projects will probably be somewhat more complex, since they must be designed to meet the specific needs of your target groups.

As noted earlier in Stage B, Step 3, target group participant needs can be either of a training and/or other service nature. Therefore, even if a primary project is classroom training or OJT, at this point you need to decide what other services need to be provided in addition to that activity to meet adequately the needs of the target group.

To review, potential service or assistance which your PIC might provide to participants other than training include:

- outreach/recruitment
- intake
- orientation
- assessment
- counseling
- employability development planning
- coaching
- transportation
- health services
- family services
- legal aid
- job development
- placement
- follow-through

You can use the results of your PIC's needs assessment to make that determination. It should be made for each project which your PIC will sponsor. You can use the form on the following page or one similar to it to assist you in planning the scope and services for all your PIC's participant services projects.

PROJECT SCOPE PLANNING WORKSHEET

| TARGET GROUP | | DESCRIP. OF MAJOR BARRIER(S) | PROJECT OBJECTIVE | PRIMARY TACTIC | OTHER SERVICES NEEDED TO ACHIEVE OBJECTIVES | | | | | ESTIMATED COST |
|---|---|---|---|---|---|---|---|---|---|---|
| Description | No. | | | | (enter names) | | | | | |
| | | | | | | | | | | |

Step 3

## C. ALLOCATING FINANCIAL RESOURCES

After all projects are thoroughly defined, your PIC's remaining task is to allocate the financial resources necessary to accomplish each project. As you will recall, the initial decision regarding fund allocations is made when you develop your strategic plan. At that time, you obligate the appropriate amount of dollars that you want to spend to achieve each goal. This decision is checked again when you set your PIC's program objectives.

Now, as the final act prior to developing your plan for operation of the PIC's program, you break out the amount to be expended on each project in order to estimate cost feasibility and to ensure that there are sufficient resources to deliver the full scope of program services that are planned.

Estimating your costs for EGS projects, as with defining their component parts, is a straight line process of deciding what each product or major deliverable will cost. Estimates on the participant side are somewhat more complicated. Factors that you have to take into account in making your estimations on participant serving projects include:

- allowances
- wages
- fringe benefits
- training
- services to participants.

Types of costs which you will need to consider within these categories in making your estimates include:

- annual or "one-payment" fixed costs (e.g., insurance, equipment)

- monthly or continuing fixed costs (e.g., rent, telephone)

- continuing fixed costs not related to service levels (e.g., personnel)

- continuing variable costs related to service levels (e.g., travel, allowances)

- "one-payment" variable costs related to the needs of individual program clients (e.g., supportive services).

Undoubtedly, the best single source to provide you with the information and assistance in estimating your participant-related costs is your CETA Prime Sponsor. The PS has a wealth of experience and probably the necessary data to enable you to project your costs accurately.

If, on the other hand, you want to or have to do some of your own cost estimation, the instructions which follow should prove helpful:

- Allowances
  For each project and all projects together:

  estimate the number of individuals to be served who can qualify for allowances based on the characteristics of the target groups and on the qualification criteria.

  determine the minimum allowance payment and the additional provisions for dependents.

  estimate the average number of weeks for which an allowance will be paid, based on the duration of the training program.

  The format below can be used for calculating allowances.

Format for Calculating Allowances

Project/Component ______________________________

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Basic Training Allowances | No. Participants Qualifying<br>__________ | X | Average Basic Allowance Per Week<br>$__________ | X | No. of Weeks<br>____ | | = | $______ |
| Allowances for Dependents | No. Participants Qualifying<br>__________ | X | Number Weeks of Training<br>__________ | X | Amt.per Depend.<br>$______ X | Avg. No. of Depend.<br>________ | = | $______ |
| Meals, Transportation,etc. | No. Participants Qualifying<br>__________ | X | No. Weeks Particip. in Trng.<br>__________ | X | Avg.Allow. for this Purpose per Week<br>$______ | | = | $______ |
| | | | | | TOTAL ALLOWANCES | | = | $______ |

- **Wages and Fringe Benefits**

  For each project and then all projects:

  - determine the wages to be paid in each of the specific occupations included in the employment or training project based on minimum wage levels (i.e., the higher of applicable federal or state and local standards) and the maximum allowable yearly wage under CETA.
  - determine the average number of employment or training positions in each occupation, based on project objectives and scope.
  - estimate the average number of months each participant will spend in an employment or training project.
  - calculate total wages by multiplying all of the above factors and for all occupations.
  - calculate total fringe benefits by multiplying applicable benefit rates against total wages and sum for all occupations.

The format below can be used to calculate wage and fringe benefits.

Format for Calculating Wages and Fringes

Project/Component ______________________________

| (1) Occupation | (2) Number of Positions | (3) Avg. Hours of Employment or Training | (4) Average Hourly Wage | (5) Total Wages for Occupation Cols. 2 x 3 x 4 | (6) Fringe Benefits |
|---|---|---|---|---|---|
| | | | | | |
| | | | | Total Wages<br>$ | Total Fringes<br>$ |

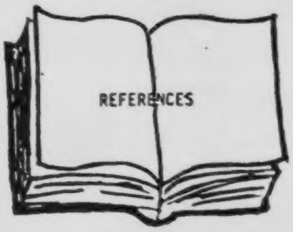
Step 3

- Training
  For each project, and then all projects:
  - determine the occupational areas for training and the average number of trainees in each area based on the project, objectives, and scope.
  - identify any applicable state education board standards for certification of the training in each of the occupational areas. The standards may relate to qualifications of instructors, minimum periods of training, minimum and maximum class sizes, and required training materials and equipment.
  - determine project administrative costs by calculating personnel, facilities, and equipment costs as indicated below:
    - Compare required personnel, as determined in the project organization and staffing plan, to the labor market, in terms of available personnel and prevailing wage rates and compensation plans, including employer contributions to social security and UI.
    - Compare required facilities and equipment related to managing the program to its availability and to the prevailing rents and costs.
    - Compare necessary utilities and maintenance services against prevailing rates.
    - Establish the permissible indirect cost rate and apply it against indirect cost base items.
  - identify certified training institutions in area and survey them to obtain relative cost estimates to verify cost estimates.
- Services to Participants
  For each project and then all projects:
  - follow the procedure as described above for calculating personnel, facilities and equipment costs based on services

to be provided, number of persons receiving each service, number and types of personnel needed to provide services, and geographical areas to be served (i.e., to determine the need for one central center vs. several outlying service centers).

- identify special services which may be needed by a few clients (e.g., eyeglasses, dental care), estimate the number of individuals to receive the services, and determine cost based on the availability of such services in the market.

If, after you do your cost estimation, there are shortfalls or overages either in total or within a given area, you re-budget and adjust your program objectives and project objectives and scope accordingly. After this activity is completed, you are in a position to develop your PIC's plan for program operations.



Manpower Administration (now Employment and Training Administration [ETA]), Manpower Program Planning Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

## D. DEVELOP PROGRAM OPERATIONS PLAN

Purpose: To establish a detailed plan and procedures for operating your PIC's program.

Steps

1. Structure Program Delivery System
2. Establish Performance Standards
3. Secure Necessary Assistance
4. Finalize and Approve Operations Plan

**Step 1**

## Structure Program Delivery System

The purpose of this step is to formalize the mechanisms and arrangements for delivery of the full scope of the program and projects which your PIC has decided upon. This involves: designing specific projects; developing project delivery framework; and establishing administrative infrastructure.

**Key Concepts**

- Project Design - objectives to be accomplished, major activities and services to be provided, action steps to be taken, and basic organization and management plan for delivering the project.
- PIC Delivery System - overall framework for providing PIC training and development (participant) and employment generating projects.
- PIC Administrative Structure - arrangement for coordinating and managing PIC's projects.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | Excellent | Above Avg. | Average | Below Avg. | Poor |
|---|---|---|---|---|---|
| • Knowledge | | | | | |
| • Capabilities | | | | | |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

In this step, your PIC makes the decisions which are probably most critical to its programmatic success or failure. These decisions relate to how you are going to deliver what you have decided upon as your program for the year. Basic considerations to be factored into your decision-making at this point include:

- whether to use all, part, or none of the Prime Sponsor delivery system
- how much direct control will your PIC want over those projects which you sponsor
- what are the relative tradeoffs in terms of cost and credibility among various types of service deliverers
- should essential services be delivered on a decentralized or centralized basis.

If your PIC has clearly defined its own mission and function, then many of the answers regarding its role in the delivery system will be readily apparent. At this point, you need to make your PIC's role even more precise and to decide what roles others are to play. The tasks necessary to do that are to:

- design specific projects
- develop a project delivery framework
- establish administrative infrastructure.

## A. DESIGNING THE PROJECTS

The first order of business in establishing your PIC's delivery system is designing the projects which are to be initiated. If your PIC has decided to run all or certain projects itself, then a great amount of your attention and effort will go into this area.

The prinicpal responsibility here is to decide for each project:

- the major activities or services to be accomplished and the order in which they are to be accomplished
- the specific steps or actions which are to be taken to accomplish each activity or service - including resources required and time frame for accomplishment
- the basic organization and management plan for delivering the project.

Your PIC can use the general formats below and modify them as appropriate to facilitate its general project design process.

Project Design Formats

1. Project Planning Format

| | |
|---|---|
| Project: | |
| MAJOR ACTIVITIES/SERVICES | PERFORMANCE STANDARDS |
| | |

2. Activity/Service Planning Format

| | | | |
|---|---|---|---|
| PROJECT: | | | |
| MAJOR ACTIVITY/SERVICE: | | PERFORMANCE STANDARDS: | |
| 1. ACTION STEPS | 2. RESOURCES/ASSIS. REQUIRED | 3. TIME FRAME | 4. PERSON DAYS ALLOCATED |
| | | | |

### 3. Management Plan Format

| ACTIVITY/TASKS | STAFF RESPONSIBLE | % OF TIME TO ACTIVITY |
|---|---|---|
|  |  |  |

Since, at this time, the majority of PIC's contract most activities, basic principles and factors related to effective project design are also discussed under "Step 3. Secure Necessary Assistance," which follows. The same principles which apply to contracted assistance should apply to those projects sponsored by your PIC itself.

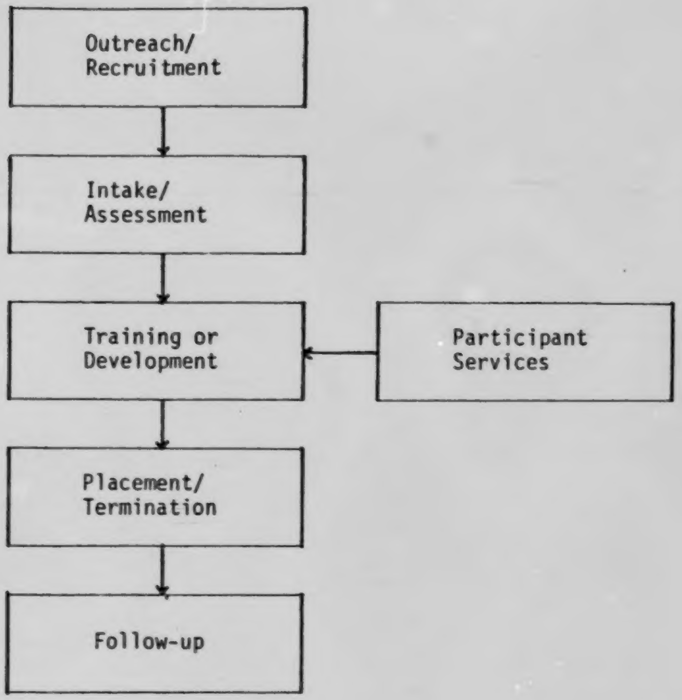
## B. DEVELOPING THE PROJECT DELIVERY FRAMEWORK

Regardless of whether your PIC implements all its own projects, contracts them, or is somewhere in between, you need to establish an overall framework for coordinating and integrating your PIC's projects. That framework will have two sides -- the training and development or participant side, and the EGS side.

### Training and Development Side

The general model of CETA participant client flow is indicated in the chart on the following page.

## CETA Client Flow Model


Outreach/ Recruitment
Intake/ Assessment
Training or Development
Participant Services
Placement/ Termination
Follow-up

Basic questions that you can ask yourself as they relate to the foregoing model and your PIC's projects include:

- How will your PIC handle its outreach, recruitment, intake, and assessment of participants? Through a central source? Through each service deliverer?
- What provisions will be made, if any, to meet the special development and support service needs of participants?
- Will any placement, job development, and program termination activities be undertaken?

- Will your PIC make special arrangements for follow-up assistance to program services? Yes? No?

Your answers to these and other questions which you consider important will determine the shape of the participant service side of your PIC's delivery system. Again, as in estimating costs, your Prime Sponsor should be an invaluable source of information and experience regarding service delivery arrangements and, in many cases, a potential service deliverer itself. You should consult with the Prime Sponsor as a first resort to help you plan the participant side of your program.

No matter what specific client processing arrangements you decide on, there are some basic steps that should be taken to allow for effective operations on the participant side of your PIC's program. These steps are outlined below:

1. Specify for each project the sequence in which participants will receive services.

2. Establish procedures and mechanisms necessary to ensure that participants move from one service to the next with minimal complication.

3. Define in writing the process for coordination among your projects and services.

4. Identify the total number of persons to be served in your total program, in each project, and the number to receive specific services.

5. Schedule the flow of participants through your delivery system to determine who will be receiving what types of services at what time.

6. Balance participant levels among services throughout the program to ensure that existing service capacity is being used at maximum efficiency and to avoid bottlenecks or under-enrollments.

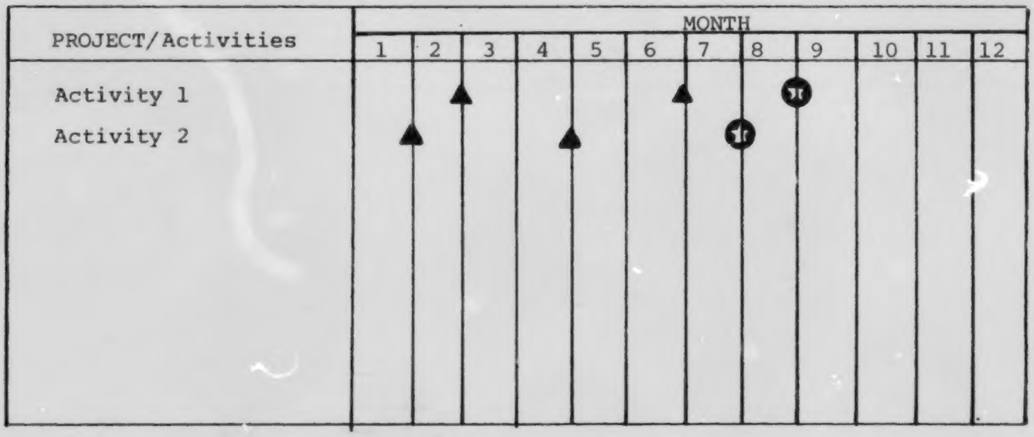
The actual mechanics for accomplishing these steps are somewhat technical. However, with the assistance of your Prime Sponsor, you should be able to structure a system that works for your PIC.

EGS Side

To structure the EGS side of your delivery system, you should answer questions including:

- What end products or results will be produced? In what time period or by what date?
- What interim products will be produced? By when?
- What major activities will be accomplished? By when?
- What are project benchmarks? When will they occur?
- What are the major tasks or steps necessary to complete each project? What is their timeline?

Answering these questions for all EGS projects will enable you to develop a time-phased product/activity schedule which can be used to direct the implementation of your PIC's EGS projects over the course of the year. A sample format for such a schedule is presented below.



▲ = major benchmark

✪ = deliverable product

Step 1

## C. ESTABLISHING THE ADMINISTRATIVE STRUCTURE

As the last task in developing its program delivery system, your PIC should design and put into place an administrative infrastructure which complements and supports your decisions regarding participant and EGS project delivery. To do this, you must review and/or decide:

- What projects the PIC will run itself and the staffing required
- How to direct, coordinate, and control all projects to be initiated.

In addition, you should assess your administrative and management support requirements, particularly in the areas of:

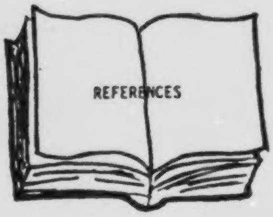
- Financial Management
- Data Collection and Reporting
- Planning, Management and Evaluation
- Personnel and Staff Activities
- Procurement and Maintenance
- Planning
- Correspondence and Communication Control
- Public Information
- Grants Administration
- Legal.

The decisions that you reach here will determine the day-to-day administrative organization and the staffing needs for your PIC. Once you have made these decisions, you should design an initial organizational and staffing plan for your PIC. That plan should detail the:

- structural design of your PIC's organization (this design may be for full time PIC staff, CETA staff, shared staff, mixed staff, or any other arrangement you deem appropriate)
- primary functions to be performed

- level of staffing needed to support the program
- job descriptions for staff.

Finally, as with your PIC's projects, as a last step to ensuring your administrative plan can be implemented, you should calculate your administrative costs based upon the decisions you have made. Again, factors to take into account include personnel, facilities, and equipment costs.



Manpower Administration (now Employment and Training Administration [ETA]), Manpower Program Planning Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Manpower Administration (now Employment and Training Administration [ETA]), Program Activities and Services Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

## Step 2

## Establish Performance Standards

The purpose of this step is to set the performance standards for your PIC. Standards should be set at the program, project, and component levels.

### Key Concepts

- Performance Standards - statements of measurable results to be achieved and used to ascertain success or effectiveness.
- Performance Indicators - measurable factors (e.g., entered employment rate, number of jobs retained for CETA-eligible participants as a result of industrial revenue bonds) indicating effectiveness within a given area on which it is important to set objectives and standards.
- Terminal Indicators - measures used to assess the end results or outcomes of a project, component, or program.
- Interim Indicators - measures used to assess the ongoing performance of PIC's projects, components, and program.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

# PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

After you have structured your program delivery system, your PIC's next step is to establish its performance standards for the fiscal year. Performance standards are measurable descriptions of what constitutes a job well done for your PIC.

Performance standards are useful in all phases of the PIC's program. They:

- help you to target resources and activities during the planning process
- serve as measures which can be used on an ongoing basis to assess relative progress and performance
- provide a means for making an objective assessment of PIC program performance.

If you set program objectives and project objectives as described in Stage C, "Establish Program Scope," then you already have the primary input to use in establishing your PIC's performance standards. To make these objectives into standards, you adjust them to reflect any new insights which you may have attained as a result of structuring your delivery system, or to account for changed conditions in the local labor market or economy since your initial objectives were drafted. These standards will then relate directly to your PIC's goals and tactics. They should be sufficient for program management and review purposes. In addition, at this point, however, you may want to:

- refine the standards you have developed
- create additional overall or component standards
- develop more particular standards for each project.

The concept which is critical to the development of standards is "indicators." Indicators tell you what is to be measured. They are measurable factors indicating effectiveness which relate to a certain area of activity. By establishing a specific acceptable value for each indicator that your PIC selects, you can create a program performance standard.

The discussion which follows describes various indicators that can be used to develop standards for the participant, employment generating, and administrative aspects of your program.

## A. DEVELOPING TRAINING AND DEVELOPMENT (PARTICIPANT SERVICE) STANDARDS

The Department of Labor is presently developing national performance standards for application to all CETA Prime Sponsors. Indicators which have been selected as appropriate for Titles II-B and II-D--those CETA program components closest to Title VII's in intent and structure--are:

- entered employment rate
- positive termination rate
- average wage at placement
- cost per entered employment
- cost per positive termination.

Your PIC may want to establish its own standards for each of these indicators. Additional overall participant indicators for which your PIC might develop standards or objectives include:

- indirect placement rate
- private sector placement
- cost per indirect placement
- total cumulative enrollment
- total current enrollment
- total accrued expenditures.

Examples of participant-related performance standards established by two PICs follow.

## PIC A - Performance Standards for All Classroom Training Projects

| Assessment Category | Indicator | Standard |
|---|---|---|
| TERMINATION | Positive Termination Rate | 77.1% |
| | Entered Employment | 68.0% |
| COSTS | Cost per Positive Termination | $4,856.00 |
| | Cost per Entered Employment | 5,511.00 |
| RESOURCE USE | Total Cumulative Enrollment | 170 |
| | Total Current Enrollment | 39 |
| | Total Accrued Expenditures | $490,468.00 |

## PIC B - Performance Standards for Various Projects

| Projects | Indicator | Standard |
|---|---|---|
| OJT | Entered Employment | 70% |
| | Satisfactory Completion and Retention by Employer | 65% |
| CLASSROOM TRAINING | Entered Employment | 70% |
| | % Entered Employment in Private Sector Jobs | 90% |
| | Positive Termination | 75% |
| PARTICIPANT PLACEMENT | % of Non-Administrative Funds to be Expended as Transfer Payments to Participants | 70% minimum |

Step 2

Other indicators for which your PIC could develop standards, as they relate to more specific parts of the participant side of your program, include:

| Component | Possible Indicator |
|---|---|
| Outreach and Recruitment | ● % of eligible referrals in relation to planned referrals |
| Intake | ● % of applicants confirmed eligible |
| Vocational Exploration | ● % of successful completers |
| Upgrading | ● Number or % of participants promoted |
| Retraining | ● Number or % of participants securing new positions with salary equal or greater to previous wages |
| Job Development | ● Number of jobs developed |

## B. DEVELOPING EMPLOYMENT GENERATING SERVICE STANDARDS

Indicators which your PIC might use in developing standards for employment generating services are presented below by the major category to which they relate:

| Category | Possible Indicators |
|---|---|
| Linkages | ● Number of formal or informal agreements for loaned staff, use of facilities, and other resources<br>● Number of formal or informal agreements completed with:<br>- business agencies,<br>- community groups,<br>- unions,<br>- schools<br>- others<br>● Number of business schools involved in joint training programs with PIC |

Step 2

| Category | Possible Indicators |
|---|---|
| Economic and Community Development | Number of jobs retained (or added) locally as a result of issuing industrial revenue bonds to companies about to close or relocate. |
| | Number of new jobs created earmarked for PIC participants. |
| | Number of new jobs filled by PIC participants. |
| | Number of new jobs for PIC participants developed as a result of attracting new business. |
| | Number of program participants successful in getting funding and training for opening a small business. |
| | Number of new small businesses established in target neighborhoods. |
| | Number of workers (or program participants) served by PIC-initiated transportation program |
| | Number of program participants who have found permanent employment in PIC-initiated day care centers. |
| | Number of program participants placed in jobs who are also using PIC-initiated day care centers. |
| Incentive Program | Number of employers placing clients. |
| | Number of clients placed through use of TJTC or other incentive. |
| Marketing | TJTC positions generated through seminars and/or direct sales efforts. |
| | Increase in number or % of businesses participating in the hiring or training of PIC participants. |
| | Number of telephone and/or letter inquiries from employers as result of specific advertising effort. |

| Category | Possible Indicators |
|---|---|
| Marketing (cont.) | • Amount of private sector funds contributed.<br>• Number of businesses who have agreed to enroll supervisors in PIC-sponsored training in how to assimilate CETA clients. |
| Labor Market Analysis | • Response rate to local employer survey.<br>• Utility of information in identifying potential job opportunities, hiring requirements, wage structure. |

## C. DEVELOPING ADMINISTRATIVE STANDARDS

The last major area in which your PIC might want to establish program performance standards is on the general administration of the PIC and PSIP itself. Using indicators such as:

- representativeness of Council
- average attendance at Council meetings
- description of operating policy and procedure
- adequacy and accuracy of program accounting
- frequency and quality of reports
- level of participation by Council,

your PIC can create internal performance standards which will contribute to overall program effectiveness.

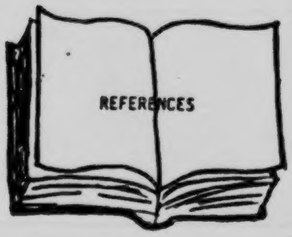
## D. DEVELOPING OTHER PROJECT STANDARDS

The indicators and standards described under the foregoing headings are primarily "terminal" in nature. That is, they relate to end results or outcomes. Your PIC's projects, however, are a process. They consist either of a set of services or major activities which are either ongoing or to be accomplished in a sequential fashion.

Therefore, it is important that for each project your PIC also evaluate the need for "interim" or "concurrent" indicators and standards. In those areas where you feel that you should not wait for end results, you should also develop interim indicators (e.g., costs per month according to plan; number of participants processed, reports submitted as planned; contacts made; monthly non-positive terminations; benchmarks met). These indicators and standards serve as the basic measures to monitor your PIC's program on a regular basis.

## CONCLUSION

In conclusion, a caution is in order. As the foregoing discussion suggests, it is possible to establish performance standards for almost everything and anything. You should not attempt to set performance standards for every area of PIC activity. Rather, your PIC should restrict its program standards to those areas and indicators which you feel are key or critical to assessing your PIC's program performance.



Employment and Training Administration, CETA Federal Representative Training Program: Systems and Management Analysis Skills Block (Washington, D.C.: National Training Center, ETA, 1981).

Manpower Administration (now Employment and Training Administration [ETA]), Manpower Program Planning Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S Department of Labor, April, 1974).

Step 3

## Secure Necessary Assistance

The purpose of this step is to secure assistance or services for those projects which the PIC does not intend to deliver or provide itself. The step involves: creating list(s) of potential service providers; developing and issuing RFP's; reviewing and selecting service providers.

### Key Concepts

- Service Providers - government agencies, community based organizations, businesses, and other contractors who furnish or might provide assistance to PIC.
- Request for Proposal (RFP) - solicitation used to inform potential service providers (contractors and subgrantees) about the projects which PIC intends to fund.
- Proposal Review Criteria - objective factors which are employed to review responses to Request for Proposals.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

The extent to which your PIC has to secure outside assistance will be determined by the basic approach that it takes to delivering services. If your PIC needs outside assistance, the process that your PIC should follow to obtain that assistance is to:

- Create list(s) of potential service providers
- Develop and issue RFPs
- Review and select service providers.

This process is described in the pages which follow.

## A. CREATING LIST(S) OF SERVICE PROVIDERS

A necessary pre-step to securing assistance is developing a list of potential service providers for each project which is to be contracted out. Your PIC can draw these lists, in part, from the inventory maintained by the CETA Prime Sponsor. In fact, the Prime Sponsor might be among your list of potential service providers.

The Prime Sponsor's inventory will probably consist mainly of agencies or entities which currently provide or have provided services to CETA. As part of your responsibility to increase the private sector's involvement in CETA programs, you should expand the list to include business organizations with the capability to provide services which are the same or similar in nature to those desired. You should attempt to make your potential "bidders" list(s) as complete as possible, since the list determines what organizations will receive Requests for Proposals issued by the PIC.

Step 3

The more comprehensive and targeted that your lists are for each project in terms of designating all potential deliverers with the requisite capabilities to provide a service, the better the chance that you will get the best deliverer possible for the service in question.

## B. DEVELOPING AND ISSUING RFPS

A Request for Proposal (RFP) is a solicitation used to inform potential contractors and subgrantees about projects which your PIC contemplates funding. Your PIC should develop and issue a Request for Proposal for each project to be funded through the PIC, but to be operated by an external agent.

In fact, from a management standpoint, it might be desirable for your PIC to request proposals even for those projects which are to be run in-house. This is frequently done in the private sector in businesses which work on the "cost center" concept. When a division has to secure special services (e.g., data processing, training and development) from outside of its area, it asks the company's service arm to prepare a proposal describing its approach to providing the service and the associated cost. This enables the buying division to obtain exactly the type of service it wants and to obtain the cost for provision of this service. Obviously, this concept is transferable to the PIC setting in which there is such a wide variety of service assistance (EGS and training development) which has to be secured and provided in the most cost effective and efficient manner.

For the most part, however, you will probably be developing RFPs to secure assistance from outside of the PIC. The amount of detail in each RFP will vary from project to project, depending upon the experience of the recipients and whether or not competitive procurements are being taken.

At a minimum, however, each RFP should consist of:

- information regarding the PIC and PSIP
- objectives for the project

- detailed statement of scope of work (assistance/services) desired
- performance measures and standards to be used in assessing projects
- performance levels of prior programs or projects
- criteria by which the RFP will be evaluated (see next heading in this section)
- performance schedule
- reporting and management requirements
- description of the procurement policies and regulations of the PIC

Additional information on the contents and how to prepare an RFP follows.

Project Title. Each RFP should have a brief title which describes the project. If the project is participant related, this section could also include summary information - the total number of slots or the total number of persons to be served. If your project is EGS related, this section may furnish a one-sentence description of the specific assistance to be provided.

If competitive bids are to be solicited, this should be stated in a note below the title, together with the closing date for receipt of bids.

Program Information. In this section, give enough background description on your PIC's program to inform a potential contractor or subagent of your broad concerns and perspectives. Include such items as the purpose statement from the CETA legislation, your PIC's mission as you have developed it, and selected goals from your strategic plan. Because of the general content of this section, it may be desirable to use the same statement in each of the RFPs developed during a planning period.

Project Objectives: In this section, set in context the particular services to be provided by the project under discussion.

Step 3

Describe the project's specific objectives and the barriers it is intended to overcome. Give an account of the obstacles at which the project is aimed. For some RFPs, it may be appropriate to set out the assumptions underlying the service approaches selected.

Scope of Work. In this section, you describe the specific sub-objectives of the project, the activities to be performed, and/or the services to be provided. Objectives should be stated specifically enough so that measures to the extent to which they are achieved can be clearly defined. Activities or services to be provided should be described in terms of their major components. For projects which involve several components, you should state objectives and describe each separately.

Once the components have been established, explain for each such element what has been determined regarding the services to be offered and the operations, organization, management and administration necessary to implement that portion of the project.

Organize the material of this section under the relevant service headings. Describe any aspects of the organization which cannot be attributed to a single component separately under all components to which it applies and also under the heading of "General Administration."

Finally, if this is a participant-serving project, this section should present information on the relevant characteristics of the target groups to be served by the project. It should include a statement of the manner in which and the extent to which the project will serve the area's priority target groups.

Performance Measures and Evaluation Criteria. In this section, you should describe (a) the measures which will be used to monitor and evaluate the overall performance of the project, and (b) the evaluation criteria to be applied to the assessment of each component of the project. Your evaluation criteria and measures should include the performance standards you have set for the projects, activities, and the formal comparisons you intend to make.

In addition, in this section you should request that the potential contractors and subagents submit additional performance measures which they feel appropriate. In general, you should list separately the performance measures which apply to the project, and then those which relate to each component.

As a caution, you should attempt to keep the number of performance measures to a minimum consistent with validity (three per component is a reasonable maximum).

Performance Schedule. In this section, you should include what has been determined on the scheduling of major activities and the dates for attaining specified achievement levels. Specify, where possible, the input, service unit and output measures which should be used by the potential contractor or subagent in developing the performance schedule contained in its proposal. Indicate the length of the periods or the dates on which planned achievement levels should be based. The planned achievement levels may have to be specified separately for each component and the measures should correspond directly to the designated performance measures.

Management and Reporting Requirements. This section should describe all reports which are required and the management and administrative procedures to which the contractor will be required to adhere.

Policies and Regulations of the PIC. In this section, you should detail all pertinent information on contracting procedures of your PIC. This should include the type of contract to be awarded, factors related to "maximum allowable" compensation for services rendered, if applicable, and the method of payment for the contract.

Structuring a sound RFP is an important step in the process of securing necessary assistance. In most instances, the quality of the RFP will influence greatly the quality of responses which you receive to it.

Step 3

## C. REVIEWING AND SELECTING SERVICE PROVIDERS

Once you have received responses to your RFP, the next step is to review that RFP to determine which proposer to select. Although the actual process of reviewing and selecting service providers will vary considerably from PIC to PIC, it is critical that the Council take a leadership role in determining who service providers will be. In this regard, it is probably advisable to have a subcommittee or ad hoc committee to review and rate proposals.

General factors which should be taken into account in conducting that rating include the:

- proposer's understanding of the scope of work
- sufficiency of the content and work description
- organizational capabilities
- related experience
- relative costs for delivery of services in comparison to other proposers.

### Title VII Proposal Review Criteria

An example of a set of proposal review criteria developed by a PIC is provided below:

Program Impact/Outcome - Potential contribution of the program toward the resolution of the problems experienced by the eligible population, and the program's potential contribution toward the attainment of PIC goals.

- Will the proposed program result in placements in the private sector at a rate acceptable to the PIC?
- Will the proposed program result in proportional placement in jobs for all significant segments?
- Will the proposed program facilitate and result in retention of participants by employers after placement?

- Will the proposed training and/or services enhance the upward mobility and promotional opportunities of participants?

Step 3

Program Design - Potential success of the program design in the attainment of the described outcomes/impact.

- Does the proposed program satisfy one or more of the criteria for projects to be funded under Title VII within the PIC?
- Does the proposal contain a feasible design and rationale describing who will do what, when, where and how (i.e., program activities and participant flow)?
- If the cooperation of other organizations is necessary to successfully implement the program, does the proposal describe the coordination with those other organizations?
- Does the proposal describe adequate and potentially successful procedures for outreach, recruitment and assessment of participants that will ensure enrollment of significant segments at the proposed rates?
- Does the proposal adequately describe training for occupations which are in demand and explain how persons trained will be successfully placed into such jobs?
- Does the proposal adequately describe how the offeror will provide the support necessary to sustain participants throughout the training in order to reduce attrition?

Program Cost - How do the following cost factors compare with competing proposals:

- Cost per participant enrolled (total program cost minus income transferred to participants).

- Cost per placement (total program cost minus income transferred to participants).
- Does the proposal adequately explain and justify the costs of the program?

Management Plan - Ability of the organization to implement the proposed program and attain the stated objectives.

- Does the proposer's past relevant experience indicate a potential for successful management and implementation of the proposed program?
- Does the proposer demonstrate success, or reflect a potential for success in providing the described services and/or training?
- Does the proposer demonstrate success, or reflect a potential for success, in serving the eligible population?
- Does the management plan adequately and feasibly describe the necessary activities, events and timeline for successful implementation of the program?

The foregoing criteria are provided only as examples. Your PIC should develop its own specific review criteria to ensure the effective evaluation of RFP's.

Reviewing Current Deliverers

The CETA Regulations require that your PIC give special consideration to those current deliverers or project operators of "demonstrated effectiveness." The concept of demonstrated effectiveness is left open to local interpretation.

Actions which PICs have taken to give substance to the concept include:

- assessing compliance with CETA regulations
- evaluating planned vs. actual performance - 15% deviation indicating potential problems
- comparing the performance of individual vendors in the same category (e.g., classroom training).

One PIC established the following guidelines to review the competence and projected effectiveness of existing training deliverers:

- Is the training entity well-established?
- Does the training entity have adequate facilities?
- Will it provide counseling and placement services?
- Has the curriculum been developed with private sector input?
- Does the entity have adequate accounting procedures?
- What are criteria for instructors?
- Will attitudinal and skill training be provided?
- Will training qualify CETA participants for job openings?
- What are the procedures for placing workers in unsubsidized jobs?

An example of a form which another PIC developed to review the performance of its current contractors is provided on the following page.

Your PIC should develop and utilize its own set of criteria to secure the best service deliverer possible from among those respondents to your RFP.

## Negotiate and Develop Contracts

After you have identified the best proposer, you should negotiate a contract or agreement. This process should include clarifying any points you have regarding the RFP or areas in which you want to see the proposal modified. Once this process is completed, you should develop the formal contract. To the extent possible, this contract should follow the format of the RFP and incorporate the proposer's responses to the RFP. The contract should describe:

- Program description/design
- Goals and objectives

Step 3

EXAMPLE

### Projected Outcomes for FY'81
### Description of Performance by Current Contractor

Jurisdiction: ______________________________

Program Activity: __________________________

| | Planned, or Perf. Stand. | Actual | Variance |
|---|---|---|---|
| A. Total Enrollments: | ______# | ______# | ______% |
| 1. Minorities | ______% | ______% | ______% |
| 2. Females | ______% | ______% | ______% |
| 3. Youth (21 and under) | ______% | ______% | ______% |
| 4. Older Workers (45 and older) | ______% | ______% | ______% |
| B. Total Terminations: | | | |
| 1. Entered Unsubsidized Employment | ______# | ______# | ______% |
| 2. Additional Positive Terminations | ______% | ______% | ______% |
| 3. Other Terminations | ______% | ______% | ______% |
| C. Entered Unsubsidized Employment in a Private Sector Job | ______% | ______% | ______% |

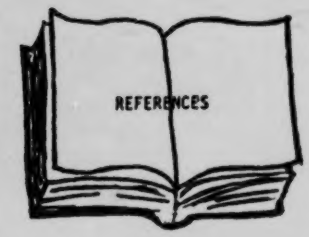
D. Expenditures

| Program Activity | Planned | Actual | Variance |
|---|---|---|---|
| 1. STP | $______ | $______ | ______% |
| 2. OJT | $______ | $______ | ______% |
| 3. CRT | $______ | $______ | ______% |
| 4. EGS | $______ | $______ | ______% |
| 5. Total | $______ | $______ | ______% |

- Outcomes - quantitative performance standards, qualitative performance standards against which to evaluate success
- How the project will fit in with overall PIC operations
- Target groups (if training and development agreement)
- Component design and participant flow
- Contractor responsibilities - reporting requirements, program time frames, requirements to agree to monitoring, audits, etc., and CETA Act and regulations, additional requirements and responsibilities as necessary
- Contract payment process
- Participant payment process (if training and development agreement),

## CONCLUSION

Completing all the tasks within this step in a satisfactory manner should ensure that your PIC obtains quality assistance and develops a solid network of service providers.



Employment and Training Administration, CETA Federal Representative Training Program: Systems and Management Analysis Skills Block (Washington, D.C.: National Training Center, ETA, 1981).

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**Step 4**

## Finalize and Approve Operations Plan

The purpose of this step is to develop a comprehensive program operations plan which can be used to direct all PIC activities and services for the fiscal year. This step involves: developing work plans; developing final cost estimates, and securing Council approval for the entire operations plan.

**Key Concepts**

- PIC Program Operations Plan - written statement which documents PIC's performance standards, administrative structure and organization, operating procedures, delivery system, work plans for each project to be undertaken, management plan and procedures; evaluation plan and procedures; and budget allocation and accounting procedures.
- Project Work Plan - detailed statements of services/activities to be undertaken, planned inputs and outputs, work to be performed by individuals, organization charts, work schedule and action steps, administrative procedures, and monitoring arrangements.
- Final Cost Estimate - review of overall program costs prior to approval of program operations plan.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge

  Excellent — Above Avg. — Average — Below Avg. — Poor

- Capabilities

  Excellent — Above Avg. — Average — Below Avg. — Poor

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

Having secured all necessary contractor assistance, your last responsibility prior to actual program implementation is to finalize and approve the PIC's program operations plan. The primary tasks here are:

- to prepare work plans or statements to guide all facets of the PIC's operation
- to develop final detailed cost estimates to ensure that your plan is within budget.

After this is accomplished, the Council should approve the entire operations plan.

## A. DEVELOPING WORK PLANS

Work plans are like road maps. They provide a detailed picture of the work to be done, procedures for doing it, and precise and measurable standards of performance for each activity which is undertaken. Your PIC should develop or have work plans for all projects and major areas of activity (i.e., administration, management and evaluation, participant services, training and development services, employment generating services).

Work plans normally describe:

- services to be provided/activities to be accomplished
- planned inputs and outputs in terms of monthly or regularly scheduled objectives
- work to be performed by individuals and units - responsibility assignment
- organizational charts and job descriptions for individuals working on project or in area

- schedule and action steps for accomplishing work
- administrative procedures to be followed
- monitoring arrangements including frequency and checkpoints.

If your PIC followed steps 1-3 in this stage, you already have developed or have all the information necessary to develop these work plans. Your responsibility at this point is to pull all of those plans and data together and consolidate them into a master operations plan for your PIC. This master operations plan should also incorporate the management and evaluation procedures and checkpoints from your PIC's Management and Evaluation Plans into standard operating procedures for program operations.

At a minimum, your PIC's final operation plan should describe:

- PIC Program Performance Standards
- PIC Administrative Structure and Organization
- PIC Operating Procedures
- PIC Program Delivery System
- PIC Projects
- PIC Management Plan and Procedures
- PIC Evaluation Plan and Procedures
- Budget Allocation and Accounting Procedures

## B. FINALIZING COST ESTIMATES AND COST PLAN

As part of putting together your PIC's operational plan, you need to do one more check on costs to be certain they are within the permissible and planned ranges. To accomplish this, you should:

- document all final project costs as determined through contract negotiation and compare them to your original estimates to note any significant differences
- display all of the line-item costs of the program to ensure that funds are being planned to generate services at maximum levels of efficiency and effectiveness:
  - Administration
  - Allowances
  - Wages
  - Fringe Benefits
  - Training
  - Services
- array costs within the proper categories to ensure that all projected costs are in accordance with financial provisions of the Federal Regulations:

  Participant-Related - at least 50%
  EGS - up to 30%
  Administrative - no more than 20%
- ensure that your total cost does not exceed your total Title VII grant allocation, unless other available resources (federal, state, or local - public or private) have been committed to the program.

If your analysis reveals any problems in the budget, you should make the last minute adjustments that are necessary to bring your total program into compliance.

## C. APPROVING THE PLAN

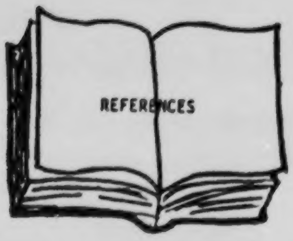
Once the operations plan is developed and the final costs are determined, the entire package should be submitted to the Council for approval. If the Council has participated all along in the drafting of the plan, then this step is primarily symbolic. The formal seal of approval for the PIC's operations plan by the Council indicates that all members endorse it as a plan and program approach which they can support.

Again, as with nearly all of the earlier steps and activities, the actual process for securing this approval should be determined by what you anticipate will work best for you. A few suggestions regarding this approval process follow.

- Involve the Council or subcommittees at all important points throughout the process of plan development, raising key issues for their resolution.
- Ensure that the members get copies of the draft plan in advance of the approval meeting.
- Have the plan approved in a full Council meeting.
- After the meeting, disseminate the approved plan to all members and to public officials and others who you feel should be informed of the PIC's activities.

## CONCLUSION

A final note on your program operations plan is that although considerable time and effort go into creating a plan which is as appropriate and responsive as possible to local needs, the plan is based upon factors, assumptions, and information at a given point in time. The world is not static. Changes in the economy, size and needs of target groups, and CETA funding levels, among other things, will cause the need for replanning. Therefore, you should be prepared to replan. When the need arises, your PIC should do its replanning using the same process in miniature that you employed to develop its original program operations plan.



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Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

## E. DEVELOP MANAGEMENT PLAN

**Purpose:** To establish a detailed plan for overseeing your PIC's program operations on an ongoing basis.

Steps

1. Establish Management Review and Control Process
2. Determine Management Information and Reporting Needs
3. Design Management Reporting System

**Step 1**

## Establish Management Review and Control Process

The purpose of this step is to establish an operational control process and steps for management review of your PIC's program. This involves: identifying the basic procedures required to monitor and control program performance; and dividing responsibilities for management review and control among PIC members and staff.

**Key Concepts**

- Operational Control Process - method for assessing, directing and correcting PIC program operation on an ongoing basis.
- Management Review Responsibilities - roles and tasks to be performed by PIC staff and members in overseeing and coordinating program operation plan.
- Report Monitoring - review of planned versus actual performance using reports submitted by projects and contractors.
- Preventive Monitoring - regularly scheduled visits to projects/contractors to oversee and review interim products and work processes.
- Corrective Monitoring - follow-up analysis to determine why performance varied significantly from planned levels.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

There are two fundamental questions which your PIC has to answer to establish its management approach:

- What will your PIC's basic operational control process and procedures be?
- Who will be responsible for implementing and administering that process and what will their specific responsibilities be?

Your answers to these questions will shape your PIC's general framework for managerial oversight and programmatic control.

### A. OPERATIONAL CONTROL PROCESS - OPTIONS

An operational control process is a method for assessing, directing, and correcting program operations on an ongoing basis. As discussed earlier, regular monitoring of performance versus plan should be the core of your PIC's operational control process. In addition to that paper technique, depending upon the resources which you have available and the control needs of your PIC as you define them, you will want to engage in:

- preventive monitoring
- corrective monitoring.

### Performance versus Plan - Report Monitoring

In performance versus plan monitoring, you compare your PIC's performance against the quantitative and qualitative targets expressed in your program operations plan. If you have followed the PME Process to this point, your PIC's program operations plan contains near-term targets for both your Participant and your EGS projects.

Step 1

To implement a simple performance versus plan monitoring system, you track your PIC's performance against those objectives which you have set. This can be done by reviewing reports which are generated to meet Department of Labor reporting requirements and other special reports which you can require of program operators.

This form of analysis will enable your PIC to identify those operational areas in which there may be performance problems. However, this examination of performance versus plan as reported on paper will not enable you to:

- prevent problems before they occur
- identify the specific reasons or causes for performance below plan.

To accomplish these ends satisfactorily, your PIC would have to expand its managerial monitoring capabilities.

## Preventive Monitoring

Preventive monitoring is a method for directly overseeing the efforts of contractors through on-site visits, or scheduled meetings to review interim products and work processes. This method is applicable to both your PIC's EGS and Participant projects. It can be used to pinpoint and eliminate short-term problems and to redirect program efforts.

To facilitate its preventive monitoring, your PIC can create personnel evaluation and monitoring checklists which can be used during the monitoring visit. These checklists could be designed to direct your attention to those areas of activity which are most important to ensure successful performance of staff and project operators.

## Corrective Monitoring

The purpose of corrective monitoring is to determine why performance varies from planned levels and to identify possible remedial actions for management consideration. Although there is no set process for corrective monitoring, steps which your PIC might take in doing corrective monitoring include:

1. Review Performance versus Plan Report from project operators;

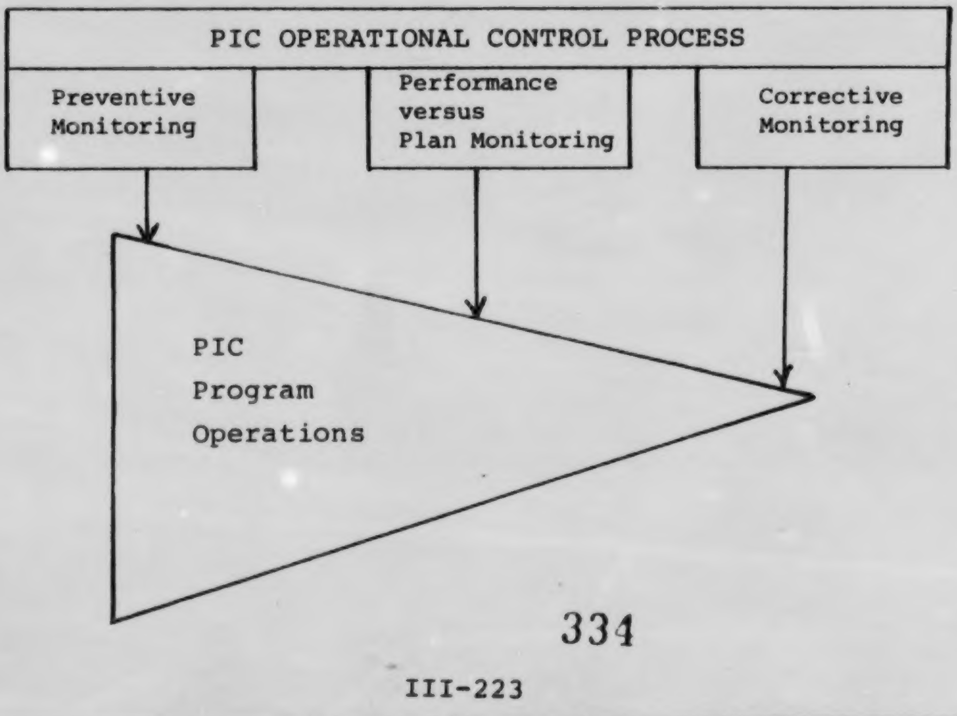
2. Note significant variation from plan.
3. Talk to project operators to ascertain possible reasons for variance and to set up a meeting.
4. Meet to discuss possible causes and solutions.

5. Resolve the issue.
6. Agree upon informal corrective action.

- Initiate further investigation.
- Conduct personal interviews and data review.
- Draw tentative conclusions/solutions.
- Discuss with contractor.
- Develop corrective action report.

## B. DEFINING YOUR PIC'S OPERATIONAL CONTROL PROCESS

To review, your PIC's operational control process can consist of three basic components, as shown in the diagram below.


PIC OPERATIONAL CONTROL PROCESS
Preventive Monitoring
Performance versus Plan Monitoring
Corrective Monitoring
PIC Program Operations

You should decide which components should be in your PIC's process based upon local needs and capabilities. At a minimum, you will want to be able to do some performance versus plan and corrective monitoring. After you have defined the types of monitoring your PIC will do -- the process to be employed -- you should spell out the basic procedures which will be followed for monitoring purposes. To do this, you should answer the following questions:

- What information is absolutely essential for monitoring performance and managing the PIC's program?
- What are the sources of this information?
- How can this information be collected?
- What procedures are necessary for analyzing the information?
- When, how often, and in what manner should the information be reported?
- Who will review management reports? In particular, what role will the Council members play in the process?
- How will corrective actions be implemented?

After you have answered these questions, you should prepare a written description of operational control procedures for your PIC.

## C. ASSIGNING MANAGEMENT REVIEW RESPONSIBILITIES

After you have made these decisions, you will have the information necessary to determine basic management review responsibilities for both PIC staff and members. Questions you will need to answer in this area include:

- Who will have ultimate responsibility for administering the monitoring plan?
- Who will supervise monitoring?
- Who will prepare monitoring and management reports?

- Who will be involved in the analysis of monitoring reports and in the interpretation of findings?

- What will the Council's role be in the monitoring process?

Obviously, how you break out the management responsibilities for implementing your PIC's operational control process will be based upon a number of factors, including:

- the nature of the control process
- your PIC's size
- available resources
- staff capabilities.

One possible role and Council arrangement for accomplishing the management/control function and basic considerations related to using PIC staff for monitoring/control purposes are outlined on the following pages.

## Council Role and Responsibilities

Regardless of your PIC's control process, you should ensure that the Council plays a central role in the regular monitoring of program performance. In this regard, it may be advisable to have a council subcommittee charged with overseeing program performance. Responsibilities of such a committee could include:

- Determining an operational control process for PIC to be recommended to the full Council.

- Reviewing monitoring designs developed by staff and to advise the Council with regard to these designs.

- Making recommendations to the Council with regard to the selection of evaluation criteria and performance measures.

- Receiving and review regular management reports on program performance to assure its adherence to the plan.

- Reviewing corrective action reports and to call them to the attention of the full council as appropriate.

## Staff Role and Responsibilities

Assigning staff management review and control responsibilities is possibly the most critical part of establishing your PIC's management review and control system. Staff make your PIC's operational control and management review process work. This assignment is a three-level process:

1. Determine the monitoring and control tasks that must be performed.
2. Identify/select staff that are capable of performing these tasks.
3. Allocate and make staff accountable for work performance through job descriptions and performance planning.

### 1. Monitoring and Control Tasks

In general, the tasks which PIC staff will be required to perform in the monitoring and control area are to:

- design monitoring and control system and manage its implementation
- prepare management reports
- analyze report data and translate that data into conclusions and recommendations
- develop, as required, corrective action plans for remedying problem situations
- conduct on-site and/or personal visits and interviews to obtain monitoring and assessment data
- design data collection instruments and report formats
- collect management and monitoring data.

## 2. Staff Capabilities

The general capabilities required of PIC staff to perform these tasks adequately include knowledge and abilities related to:

- CETA Law, regulations, planning and reporting requirements
- principles and elements of manpower program design
- basic quantitative/qualitative statistics and analytical techniques
- performance objectives and indicators
- performance assessment methods
- monitoring procedures

## 3. Work Distribution

The actual distribution of monitoring work to staff will depend upon the size and configuration of your PIC. Once you have identified those tasks which have to be performed, and identified the staff to perform the tasks, you should allocate work accordingly.

Two vehicles which you can use to help facilitate PIC staff performance in the monitoring area are:

- job descriptions
- performance planning.

Job Descriptions: One of the best ways of helping individual PIC staff to understand and perform their management review responsibilities is to include these responsibilities in their job descriptions. At a minimum, the job description should include:

- a complete list of the relevant management review responsibilities; and
- standards for the performance of these responsibilities.

Performance Planning: Job descriptions provide the written record of assigned PIC monitoring responsibilities. However, in order to translate that written record into job action, it is also necessary to plan this work. "Performance Planning" is a process which you can use to clarify job expectations and standards with staff and plan for their accomplishment. Essential steps in performance planning include:

a. Clarify job objectives and standards - explicitly define those monitoring and control tasks that the staff person is to perform as well as how well those tasks are to be performed;

b. Establish action steps and timetable - mutually work out monitoring plans and timetables;

c. Emphasize accountability - make it clear that the staff person is responsible and accountable for accomplishing monitoring and control tasks as they were discussed.

## CONCLUSION

In conclusion, once you have established the operational control process, and divided responsibilities for management review among your PIC staff and members, you have developed the infrastructure necessary for an effective program management system.

REFERENCES

Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

**Step 2**

## Determine Management Information and Monitoring Needs

The purpose of this step is to determine exactly what information your PIC needs to ensure effective ongoing program management and accountability. In this step, you review program and project objectives, plans, and performance standards in order to select indicators or assessment areas in which measurements are to be made on a regular basis for monitoring purposes.

**Key Concepts**

- Management Information and Monitoring Needs - minimum amount of data needed to review PIC programmatic effectiveness and to exercise control over program.
- Program-Level Monitoring - review of overall performance of all facets and projects constituting the PIC's programs for the fiscal year.
- Component-Level Monitoring - review of major facet (e.g., classroom training, linkage projects) of PIC operations.
- Project-Level Monitoring - review of performance of individual contractor or service deliverer.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

# PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

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## INTRODUCTION

Since it is impossible to monitor totally all activities, components, and projects of the PIC, your primary responsibility in this step is to define the minimum information that you will require to tell how well your PIC is doing in order to be able to exercise effective control over program performance. This section begins with an overview of the steps that you should take to define those management information and monitoring needs and then furnishes specific information on how your PIC can go about deciding what to monitor.

## A. DEFINING MANAGEMENT INFORMATION AND NEEDS - THE PROCESS

The steps involved in defining your PIC's basic management information and control needs are:

- identifying the data and information that you need in order to adequately control the program; and
- determining where this data and information can be found and how to obtain it.

### Identifying Data Needs

The initial phase of identifying your data needs is asking yourself the following questions: What do you need to know? What questions will the data be expected to answer? Once you have specified the answers to these questions, you have, in fact, determined your data needs.

In general, the one question that all monitoring and control data must answer is: How close are you to meeting your program goals? What this means is that, at a minimum, you should collect data on the participant side of your program which tells you:

- Who has been served? (participant characteristics)
- How many have been served? (enrollment data)
- What have been the program outcomes? (determination and completion data)
- What has it cost? (expenditure data)

On the employment generating services side, you will want to know:

- What products/activities have been completed?
- What have been the results?
- Were they completed in a timely and high quality manner?
- What has it cost?

## Identifying Data Sources

Once you have determined the information you will need in order to monitor your program, you will need to identify where the data can be found. In identifying your data sources, you will also be determining:

- whether the data can be generated by current reports required by the Department of Labor; or
- if new reports must be designed to collect the data you need.

Among the major sources of information on the planned and actual performance of your program are:

- participant records
- applicant records
- MIS-generated reports on participant tracking
- contractor generated reports on financial expenditures
- progress reports from contractor or staff on EGS projects
- on-site observations and monitoring visits
- interviews with applicants, participants, staff
- interviews with employers.

For the most part, the data that you choose to collect and what you will monitor will be dictated by the performance objectives and standards contained in your PIC's program operation plan for the fiscal year.

## B. DECIDING WHAT TO MONITOR AND HOW

As stated at the outset of this section, your PIC's primary form of monitoring will be comparing actual against planned performance to determine the degree to which standards or objectives are being met. Regardless of the exact content of your PIC's program operation plan, you will want to monitor performance at three levels:

- program (overall)
- component (major facet, e.g., classroom training)
- service deliverer/project.

Therefore, the first step to take to identify your PIC's specific management information and monitoring needs is to review your PIC's program operations plan to determine precisely what, at each level, ought to be measured and reported.

Not all areas can or should be monitored. The most efficient method for defining reporting and monitoring needs is to assess each area against the following criteria:

- What areas must be measured and reported by law?
- What areas, if measured, will give you reliable information on how the program is progressing?
- What areas should be monitored because they are
  - -- new,
  - -- experimental,
  - -- politically sensitive, or
  - -- expensive in terms of resource investment?

Using these criteria will help you to determine what to monitor.

Once you've identified the areas at each of these levels in which you need to monitor, the next step is to define for each area to be measured such as:

- objectives/activities to be accomplished
- indicators of performance
- the information you will need in order to monitor
- the source of this information (how to collect it) and the frequency with which you should collect it
- a checklist on information availability.

The discussion which follows describes methods and measures that your PIC might employ to establish its monitoring procedures at all three levels.

## Program Level Monitoring - Overall Performance

Deciding what and how to monitor at the program level will be the easiest determination for your PIC. If you set program performance standards at the outset of the fiscal year, then they are what you want to monitor against on an ongoing basis.

To repeat, performance standards specify end results expected and can be set for items such as:

- enrollment levels
- expenditure levels
- levels of service to target groups
- positive termination rates
- entered employment rates
- cost per participant
- cost per positive termination
- response rate to local employer survey
- number of jobs added through economic development
- number of informal or formal planning agreements established.

To monitor against those items, you measure progress at regular intervals. Much of the data that you will need to monitor in these areas--especially on the participant side--can be easily retrieved through the reports prepared on a monthly and quarterly basis for the Department of Labor. Other data can be secured through special reports which can be required from contractors or staff.

## Component/Project-Level Monitoring

Deciding what and how to monitor at the component and project level is a somewhat more complex process. Again, however, if you have developed your PIC's program operations plan according to the procedures outlined in this Guide, then there is a straightforward method which can be used to reach these decisions.

Your Program Operations Plan will consist of complete work statements for all major areas of activity and projects. These work statements will spell out:

- services to be provided/activities to be accomplished
- objectives to be achieved/performance standards
- planned inputs and outputs in terms of monthly or regularly scheduled objectives
- work to be performed by individuals and units
- schedule and action steps for accomplishing work.

You can use the work statements for those components and projects which you have decided to monitor to help define your management information and reporting methods. Specifically, by completing a worksheet similar to that on the following page for each area to be monitored, you can establish your

PIC's component and project-level management information and monitoring framework.

To complete the worksheet for each component/project, you would take the following steps:

1. Read the work statement to identify all major purposes or activities. Enter them in column 1.
2. Identify objectives/performance standards for each activity. Enter them in column 2.
3. Determine what measures or indicators can be used to assess achievement of objectives. Enter in column 3.
4. Decide what data or information will be needed to provide evidence that the indicators or standards have been met. Indicate that in column 4.
5. Determine where data can be secured, how it should be secured, how often it should be collected. Enter that in column 5.
6. Ascertain whether information is currently reported, or whether you will have to devise special report format. Check appropriate box in column 6.

Step 2

## Management Information and Monitoring Planning Worksheet

Component/Project: ____________________

| PURPOSE/ACTIVITIES | OBJECTIVES | INDICATORS OF PERFORMANCE | INFORMATION REQUIRED | RECOMMENDED FREQUENCY AND OPTIMAL SOURCE | INFORMATION CURRENTLY REPORTED? | |
|---|---|---|---|---|---|---|
| | | | | | YES | NO |
| 1 | 2 | 3 | 4 | 5 | 6 | |
| | | | | | | |

An example of a completed worksheet follows. Once you have completed worksheets for all components/projects, then you are ready to design your PIC's overall management reporting system and monitoring plan.

## COMPONENT PERFORMANCE OBJECTIVES / INDICATORS WORKSHEET

SAMPLE

MPONENT EMPLOYABILITY DEVELOPMENT PLANNING (EDP)

Step 2

| MPONENT PURPOSE/ACTIVITIES | OBJECTIVES | INDICATORS OF PERFORMANCE | INFORMATION REQUIRED | RECOMMENDED FREQUENCY AND OPTIMAL SOURCE | INFORMATION CURRENTLY REPORTED? | |
|---|---|---|---|---|---|---|
| | | | | | YES | NO |
| 1 | 2 | 3 | 4 | 5 | 6 | |
| To provide assessment services and assign and refer all participants to other components in accordance with an individualized service strategy developed by the [EDP] counselor with the participant<br>A. Develop detailed component design that provides indepth orientation | 1.A. Provide to detailed orientation program designs and curricula for two orientation programs; operate programs to serve 6,020 participants per year | Orientation program designs and curricula | • Activity records for orientation programs and curricula<br>• Contract with EDP Component including participant loading plans<br>• Observation of orientation program | • Quarterly desk review of attendance records for orientation and component activity summaries<br>• Quarterly onsite monitoring of orientation program to ensure conformity with curricula | ✓<br>✓ | |
| B. Develop an EDP document | 1.B. Develop an EDP document meeting specifications outlined in CETA RFP and Component Work Statement for EDP component | Usable EDP document meeting all specifications in RFP and work statement | • Copy of EDP document in use<br>• Copies of RFP and work statement specifications for EDP document | • Annual desk review of document<br>• Quarterly onsite review to assure its current use | ✓<br>✓ | |
| C. Develop communications with all components | 1.C. Provide monthly status reports to all components re: participants ready for referral to the component, problems with referral schedules, etc. | Monthly written status reports; evidence of regular effective communication with other component staff | • Copies of written communication<br>• Verification of communication from other component staff | • Quarterly onsite reviews of written communication from EDP<br>• Quarterly interviews with sample of component staff | | ✓<br>✓ |
| D. Recruit and train staff | 1.D. Train all EDP staff in participant assignment standard for each component and to administer appropriate testing and assessment to determine participant's needs | All participants referred to components of the PIC's delivery systems must meet the specified participant assignment standards. | • Assessment and characteristics data from EDP and application form on participants referred from EDP to other components; form showing component to which referred<br>• Roster of participants referred during the monitoring period<br>• Assignment standards from work statements for each component | • Monthly, onsite review of sample of 2 percent or more of records of participants referred during monitoring period<br>• Roster from which to draw sample | ✓<br>✓ | |
| E. Determine supportive services needs of participants and make appropriate referrals | 1.E. Develop list of local supportive service providers; enter into agreements for referral of CETA participants | • Evidence of linkages between EDP component and local supportive service providers<br>• Documentation of assessment and referrals | • Assessment data from EDP's and applications<br>• Documentation of referrals to supportive services<br>• List of providers and copies of agreements with EDP component | • As above<br>• Quarterly desk review of provider lists and agreements<br>• Quarterly onsite interviews with providers | ✓<br>✓ | ✓ |
| F. Refer participants to other components according to the EDP and based on assignment standards | 1.F. Refer all participants to appropriate components with less than 15 percent error rate | • No more than 5 percent of those enrolled in any component will be referred back to EDP within the first three days<br>• No more than 15 percent of those enrolled in any component will be referred back during the duration of component service | Status change forms showing date of referral and date of referral back to EDP | • Monthly; onsite review of sample of 2 percent or more of records of participants referred during monitoring period<br>• MIS roster from which to draw sample<br>• Or. desk review of monthly component status report | ✓<br>✓ | ✓ |

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Manpower Administration (now Employment and Training Administration [ETA]), *Program Assessment Guide* (Washington, D.C.: U.S. Department of Labor, April, 1974).

Manpower Administration (now Employment and Training Administration [ETA]), *Management Information Systems Guide* (Washington, D.C.: U.S. Department of Labor, April, 1974).

Olympus Research, *Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors* (Springfield, VA: U.S. Department of Commerce, 1975).

Step 3

## Design Management Reporting and Monitoring System/Plan

The purpose of this step is to design your PIC's reporting system and monitoring plan so that it collects and reports that information which is necessary for management purposes. This step includes: defining reporting requirements; developing management report formats; and creating the total monitoring plan for your PIC.

**Key Concepts**

- Reporting Requirements - frequency and nature of formal reports to be submitted to permit effective program management and monitoring.
- Management Reporting Display Formats - charts for summarizing monitoring data to permit easy analysis and review.
- Management Assessment Reports - quarterly narrative reports prepared for purposes of Council decision-making describing PIC program performance in major areas of concern.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge

Excellent — Above Avg. — Average — Below Avg. — Poor

- Capabilities

Excellent — Above Avg. — Average — Below Avg. — Poor

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|
| | | |

## INTRODUCTION

As indicated under the description of this step on the preceding page, there are three tasks involved in designing your PIC's management reporting and monitoring system/plan. These tasks are to:

- Define reporting requirements
- Develop management reporting and assessment formats
- Establish the schedule for your PIC's monitoring plan.

## A. DEFINING REPORTING REQUIREMENTS

The Department of Labor has defined certain reporting requirements which apply to your PIC by stipulating that your Prime Sponsor must submit periodic reports which include information about your PIC's operations. These reports are identified and described below.

DOL REQUIRED REPORTS
INCLUDING PIC INFORMATION

| REPORT TITLE | REPORT CONTENT/PURPOSE | SUBMISSION FREQUENCY |
|---|---|---|
| Financial Status Report | Collects information on the amount of CETA funds that are authorized, obligated and expended by the Prime Sponsor. Report compares actual with planned accrued expenditures by program activity. | Quarterly |
| Program Status Summary | Displays cumulative participation and termination information and compares quantitative program accomplishments against the annual plan. | Quarterly |

(continued on following page)

| REPORT TITLE | REPORT CONTENT/PURPOSE | SUBMISSION FREQUENCY |
|---|---|---|
| Summary of Participant Characteristics | Reports the socioeconomic characteristics of participants. Ultimately, this information is used for evaluation purposes on a local, state and national basis. | Quarterly |
| Program Activity Summary | Reports the outcome of CETA program terminees according to program activities in which they participated and whether they participated in a single or multiple activities. | Annually |
| Annual Report of Detailed Characteristics | Provides cross-tabulated information on the socioeconomic characteristics of participants served by each subpart of the Annual Plan. | Annually |

Your PIC needs to ensure that all the information necessary to complete these reports accurately is collected regularly. It is just as important to decide what additional data will be needed to allow you to do performance monitoring and how often it should be collected. If you have completed the foregoing step, you've determined what data besides that which is routinely collected for DOL reports you will need for monitoring purposes. You now have to decide how frequently that data should be gathered.

Because the primary purpose of performance monitoring is to provide your PIC with the information needed to control current operations better, it is generally most useful to collect planned versus actual information from individual contractors or service deliverers on a monthly basis. This will enable you to identify problems at that level early enough to initiate any intervention which might be necessary. It is advisable to aggregate service deliverer or project level data quarterly to permit analysis of the achievement of component and program level performance standards.

## B. DEVELOPING MANAGEMENT REPORTING AND ASSESSMENT FORMATS

Simply indicating the types of data needed or how often reports should be submitted, however, will not give your PIC an effective monitoring system. To be effective, your monitoring or management system must:

- present or display information in such a manner that it is easily usable;
- permit various forms of data analysis;
- provide the basis for preparing reports which can be used for decision-making purposes.

### Management Reporting Display Formats

In order to ensure that you get management information in the way that your PIC needs it, you should design management reporting display formats for recording information at the program, component, and service deliverer or project level. In general, it is easier to develop these formats by proceeding from the general to specific. That is, by deciding what you want your quarterly or summary reports to look like and then designing the back-up (monthly) reports needed to compile the summary reports.

Since performance versus plan is the basic technique for monitoring PIC programmatic success, as a general approach to designing quarterly report formats, you should list those indicators to be measured employing a format similar to that shown below:

| Area | Performance Indicators | Actual | Plan | Variance % + or - |
|---|---|---|---|---|
| | | | | |

Step 3

Several examples of forms for this type of performance versus plan analysis are provided under Stage B, "Define PIC Strategy, Step 2. - Review PIC Program Performance." An example of a management reporting display format for program level review of program costs is furnished below.

| | |
|---|---|
| Level: Program | Quarter: 1 |

PERFORMANCE VS. PLAN: COSTS

| INDICATOR | FORMULA | RESULTS | | |
|---|---|---|---|---|
| | | ACTUAL | PLAN | VARIANCE |
| . Cost Per Positive Termination | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Pos. Terms.}}$ | — | — | — |
| . Cost Per Entered Employment | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Entered Emp.}}$ | — | — | — |
| . Cost Per Indirect Placement | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Indir. Place.}}$ | — | — | — |

An example of a format for EGS projects follows.

| | |
|---|---|
| Level: EGS Projects | Quarter: 2 |

| PROJECT | ACTIVITY | INDICATOR | PLAN | ACTUAL | VAR. |
|---|---|---|---|---|---|
| Labor Market Analysis | Completed employer survey | Usable responses | 100 by end of February | | |
| Linkages | Relationship established with economic development agency | Participation in planning process | Joint planning in February | | |
| | Creation of training program for new jobs created through economic development effort | .Completion date<br>.Acceptability to employers<br>.Adherence to state guidelines | .Developed by end of March<br>.All employers will endorse<br>.State Board will review and approve as meeting State guidelines | | |

## Data Analysis

You should not restrict your data analysis to one type. In designing your management reporting formats you should develop forms which allow you to do:

- Trend Analysis: study of performance over time to see if it is increasing, declining, or staying the same.
- Comparative Analysis: study of the relative performance of two or more components, or service deliverers.

Examples of forms which could be used for trend and comparative analysis are presented on the next three pages. Analyzing data using these techniques will enable your PIC to secure a more total picture, to draw more valid and reliable conclusions regarding your program's performance, and to pinpoint more exactly those areas in which corrective action or program improvement is necessary.

Step 3

## TITLE VII

## PERFORMANCE INDICATOR TRENDS: SIGNIFICANT SEGMENTS PERCENTAGE OF PROGRAM ENROLLMENTS

| SIGNIFICANT SEGMENT ENROLLMENT CATEGORY | 1st Quarter | | | 2nd Quarter | | | 3rd Quarter | | | 4th Quarter FY 80 | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. |
| Male | | | | | | | | | | | | |
| Female | | | | | | | | | | | | |
| 19 & Under | | | | | | | | | | | | |
| 20-21 | | | | | | | | | | | | |
| 22-44 | | | | | | | | | | | | |
| 45-54 | | | | | | | | | | | | |
| 55 & Over | | | | | | | | | | | | |
| W. - (N.H.) | | | | | | | | | | | | |
| B. - (N.H.) | | | | | | | | | | | | |
| Hispanic | | | | | | | | | | | | |
| A.I. & AN. | | | | | | | | | | | | |
| A. & P.I. | | | | | | | | | | | | |

*Plan percentage: Use demographic tables in Annual Plan or compute from PPS (Part IVA-L)÷(Part IA);

**Actual percentage: Compute from QSPC (sig. seg.)÷(Total partic. enrolled)

COMPONENT: Classroom Training[1] Quarter ________

| SERVICES DELIVERERS | ENROLLED | | | TRNG. EXPENDITURES | | | POS. TERMINATIONS | | | ENTERED EMP. | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. |
| Project A | | | | | | | | | | | | |
| Project B | | | | | | | | | | | | |
| Project C | | | | | | | | | | | | |
| - Deliverer 1 | | | | | | | | | | | | |
| - Deliverer 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

[1] Another indicator frequently used in this area is pre-CETA earnings vs. post-CETA earnings.

Step 3

Step 3

TITLE VII

PERFORMANCE INDICATOR TRENDS: EXPENDITURES*

| PROGRAM COMPONENT * | 4th Quarter | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|---|---|---|---|---|---|
| CLASSROOM TRAINING | % | % | % | % | % |
| OJT | | | | | |
| SERVICES TO PARTICIPANTS | | | | | |
| EMPLOYMENT GEN. SERVICES | | | | | |
| OTHER ____________________ | | | | | |
| OTHER ____________________ | | | | | |
| TOTAL EXPENDITURES | | | | | |
| Upgrading | | | | | |
| Retraining | | | | | |

* Enter percent of program funds expended, compared to planned budget.
Ref: Financial Status Report.

TREND AND COMPARATIVE ANALYSIS FORM

Step 3

## Management Assessment Reports

The data produced by your PIC's reporting system and summarized on your display charts is raw information for the management assessment of your PIC. In order to be most useful, that information should be organized into formal assessment reports which can be used as a primary source for making programmatic and management decisions.

In general, your PIC's management assessment reports should provide the following types of information:

- A description of the current status of the component/area being reported
- Identification of performance that has deviated from plan
- Analysis of the current situation and analysis of the cause of deviations
- Identification of those areas that require corrective action
- Recommended actions.

Usually, management assessment reports should be prepared quarterly to coincide with DOL required data preparation and your PIC's internal management performance charting. However, special circumstances of your PIC may indicate the need for more or less frequent reports. Some possible quarterly reports which might be prepared by your PIC are listed below.

Possible Quarterly Reports: The following quarterly management assessment reports would provide your PIC with a significant amount of the data needed to monitor and manage performance:

- Descriptive Analysis of Overall Program Performance to Date - describing the current status of the program with emphasis on performance in relation to planned objectives.

- Component/Project Level Analysis of Performance to Date - providing data on performance of specific components and projects highlighting areas required by formal corrective action plans.
- Descriptive Analysis of Participant Characteristics - describing program performance in recruiting, enrolling and serving significant segments.
- Assessment of Program Responsiveness to Identified Needs - providing an analysis of the PIC's program design in meeting the needs of businesses and target groups within the local community.

As in the other areas of the PME process, however, you should make the determination of what your particular local needs are and then design your management assessment reports to meet those needs.

## C. DEVELOPING MONITORING PLAN AND SCHEDULE

Having established your PIC's reporting requirements and developed your management reporting and assessment formats, your last task is to develop a time-phased monitoring plan for the year. That plan should list:

- all tasks and activities to be completed
- the period of time in which they are to be completed
- due dates for when specific reports or products are to be delivered.

Some of the tasks and items which should be on your time-phased calendar include:

### Planning

- Defining operational control process (monitoring method(s))
- Assigning management review responsibilities
- Defining management information needs
- Identifying objectives and indicators
- Defining reporting requirements
- Developing data display formats
- Developing data analysis procedures
- Developing management assessment report formats.

### Operating

- Designing specific monthly reports
- Collecting data
- Generating monthly reports (program operators)
- Summarizing data monthly on display charts
- Analyzing data
- Aggregating data quarterly - program, component, all service deliverers, levels
- Formulating findings, conclusions, and recommendations
- Preparing and issuing quarterly management assessment reports.

As noted above, other items which should go on your time-phased monitoring plan are specific due dates for products or services to be delivered by contractors. Noting these dates and interim targets is especially important for the EGS projects to be run through your PIC.

One final task which is an important part of your monitoring plan, but which can't be given definite times on your time-phased calendar, is "take corrective action." This task should be scheduled as necessary based upon your monthly and quarterly analysis of data.

In conclusion, your PIC's monitoring plan provides the time-phased work schedule to evaluate program progress against projected completion dates. In addition, it is the necessary tool for determining the type and level of resources necessary to implement your PIC's monitoring program.

REFERENCES

Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

## F. DEVELOP EVALUATION PLAN

Purpose: To establish a detailed plan and procedures for evaluating your PIC's program.

Steps

1. Establish Scope and Nature of Evaluation
2. Assign Evaluation Responsibilities and Establish Procedures
3. Construct Evaluation Research Design
4. Create Research and Data Gathering Instruments

Step 1

## Establish Scope and Nature of Evaluation

The purpose of this step is to review your PIC's program operations plan to determine the exact scope and nature of your PIC's evaluation effort. There are three fundamental types of evaluation which your PIC can decide to undertake based upon this analysis: outcome or results evaluation; relative effectiveness evaluation; and impact evaluation.

### Key Concepts

- Outcome Evaluation: assessment of actual performance v. plan for fiscal year.
- Relative Effectiveness Evaluation: comparative analysis of projects, services delivered, or program components undertaken to ascertain the relative merits of each.
- Impact Evaluation: measurements to determine the extent to which the program has brought about participant change, institutional change, or otherwise had an effect upon the community in which your PIC operates.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|
| | | |

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## INTRODUCTION

An evaluation provides the means, at the conclusion of an entire performance period, to assess the effect of your PIC's programs and activities. Your PIC's evaluation can serve a number of purposes, including:

- to identify problems and deficiencies in current operations
- to estimate the effectiveness of your program in achieving specified results
- to compare alternative strategies and tactics
- to refine planning assumptions
- to measure gaps between planned outcomes and results.

Most importantly, evaluation data can provide feedback upon your PIC's program planning, operations, and management. This data can be used to improve future

- programmatic performance
- organization and operations
- planning and management.

### Types of Evaluation

To make your evaluation most useful, it should be planned at the same time that your PIC's programs are being planned. In fact, your PIC's program operations plan, objectives, and performance standards represent the primary sources for determining precisely what to evaluate. The purpose of this step is to review that plan to identify the scope and nature of your evaluation.

There are three primary types of evaluation which your PIC can decide to undertake:

> Outcome: assessment of performance against standards set at the beginning of performance period to determine the degree of achievement.

Relative Effectiveness: comparative analysis of projects, tactics, service delivered, and/or program components to ascertain differential benefits and merits of each.

Impact: measurements to determine the extent to which the PIC's program has brought about participant change, institutional change, and/or accomplished its program goals.

## The Evaluation Decision

Your PIC should decide what form(s) of evaluation to implement based upon its decision-making needs and the resources you have available. You should at least do outcome evaluation in those areas which you consider to be of high priority for program success and in which you need information for re-planning purposes. You should supplement this basic evaluation approach with relative effectiveness and/or impact evaluation measures as you deem appropriate and necessary. The pages which follow present information and describe measures your PIC might employ in implementing each type of evaluation.

## A. DOING OUTCOME EVALUATION

At a minimum, your PIC will want to evaluate outcomes or results against those performance standards which you set in developing your program operations plan. This evaluation can be done very easily by directly contrasting actual versus planned performance for each area in which you set performance standards.

As noted earlier, on the participant side of the ledger, much of the quantitative data you need to permit this type of assessment can be retrieved from three reports -- Program Status Summary, Summary of Participant Characteristics, and Financial Status Summary -- prepared quarterly and annually for the Department of Labor. It will be somewhat more difficult to obtain data in the EGS area. However, if you have set performance standards for each EGS activity, then you can design a reporting system to collect the necessary data to tell you whether the standards were met.

An important point to remember is that not all of your PIC's projects or services can or should be evaluated. Given limited financial and labor resources, you should restrict your evaluation to those projects and program components which, in your opinion, are most demanding of assessment. In general, a project should be evaluated if it has any of the following characteristics:

- it is new
- it is ongoing and has never been assessed
- it is in an area in which a large investment of resources and/or manpower has been made
- it is experimental in intent and design.

Basic techniques and formats for reviewing plan vs. performance are described in detail under "Stage B. Define PIC Strategy: Step 1. Assess PIC Program Performance," pp. III-65-96. As noted, an outcome evaluation will probably satisfy most of your PIC's fundamental evaluation needs. The other forms of evaluation can be employed to enhance your PIC's decision-making capabilities.

## B. DOING RELATIVE EFFECTIVENESS EVALUATION

Assessing the relative effectiveness of the components and effects of your PIC's program is especially useful for replanning purposes. Data on relative effectiveness can help your PIC decide what to continue, stop, increase, or decrease. This type of evaluation enables you to assess the relative merits, deficiencies, and costs of different programs or components, regardless of their apparent dissimilarity.

Step 1

On the participant services side of your program, if your PIC has incorporated indicators for terminations and costs such as:

| Terminations | Costs |
|---|---|
| Positive Termination Rate | Cost Per Positive Termination |
| Entered Employment Rate | Cost Per Entered Employment |
| Indirect Placement Rate | Cost Per Indirect Placement |
| Private Sector Placement | Cost Per Private Sector Placement |

then you already have data reported in such a fashion that it can be used in a simplified comparison of relative effectiveness of components and projects. You can develop forms patterned after those on pp. III-79-82 to permit that type of analysis.

Relative effectiveness comparison on the EGS side of your PIC's program will be somewhat more difficult given the great variety of projects which can be initiated in this area. However, possible bottom line indicators for many of these projects, regardless of their primary method (e.g., linkage, economic development), might be:

- jobs created or vacancies developed;
- jobs filled by CETA-eligible participants;
- average wages of jobs secured.

If these indicators can be associated with your PIC's EGS projects, then you could apply a relative effectiveness perspective by using these indicators alone or in conjunction with the costs associated with the particular projects to permit effectiveness comparison between and among projects.

For example, if your PIC initiated a phone solicitation of local employers to create job vacancies, and also initiated an economic development project with those local construction companies to create job vacancies, it would be possible to compare the two projects by using simple measures such as:

| Results | Costs |
|---|---|
| Jobs created | Cost per job created |
| Jobs filled | Cost per job filled |

However, doing relative effectiveness analysis, relying solely on a straightforward comparison of results on the single quantitative indicators cited above, could be very misleading. To make relative comparisons and analysis more meaningful, you need to try to make the concept of effectiveness to be applied in comparing projects and components as appropriate, comprehensive, precise, and rigorous as possible. Some possible methods which you might employ to achieve these ends, relying primarily on data which can be retrieved from your PIC's reporting system, include:

- Effectiveness Indexes
- Cost Effectiveness Indexes
- Composite Effectiveness Indexes

## Effectiveness Index

An effectiveness index may be loosely defined as a performance measure which combines two or more measures of effectiveness to derive a result (i.e., effectiveness index) stated in numerical terms. One of the most common effectiveness indexes is the Placement/Wage Index.

### 1. Placement/Wage Index

The Placement/Wage Index is defined as:

(Placement Rate) x (Average Hourly Starting Wage)

For example, if the placement rate of a Welding Program was 60% and the average starting wage was $3.63, the index score would be:

$$.60 \times 3.63 = 2.18$$

On the other hand, if the placement rate of a Hospital Attendant Program was 93% and the average starting wage was $2.25, the index score would be:

$$.93 \times 2.25 = 2.09$$

The higher the score the better the performance according to the index.

The Placement/Wage Index can be used to rank a number of projects according to their performance on the index in order to facilitate their comparison. However, that ranking in itself does not enable your PIC to make a decision. Rather, it merely gives your PIC a useful perspective for comparative analysis among either projects or components.

## 2. Using the Placement/Wage Index in Decision-Making

The Placement/Wage Index allows your PIC to look somewhat more objectively and thoroughly at program performance and to decide what trade-offs you want to make. The index enables you to not discount automatically those projects which have relatively low placement rates but at higher salaries, or overestimate the potential or contribution of those projects which result in high placements but in relatively low-paying jobs.

The decision which your PIC has to reach is whether a project with an average or below average placement rate leading to steady jobs with high wages is preferable to one with good placement rates leading to jobs with low wages. You would undoubtedly make this decision based upon the current socio-economic needs in the community.

The Placement/Wage Index is just one of many measures that can be used to look at your PIC's performance on the participant side. Although this index and others like it observe some data and are not completely fail-safe or totally reliable means for evaluating effectiveness, they do allow you to:

- present data in a concise and simple manner
- establish in an explicit manner those most important factors or criteria which your PIC wants to apply in evaluating projects and components.

## Cost Effectiveness Indexes

One of the factors which your PIC will probably consider worth knowing from an evaluation standpoint is the relationship of the cost of components or projects to their effectiveness in achieving planned results. This can be determined by developing cost effectiveness indexes which combine costs with effectiveness measures. There are two principal methods for determining cost effectiveness: the simple division method, and the proportionate method.

### 1. Simple Division Method

The simple division method of determining cost-effectiveness is to divide the average unit cost, such as average cost per enrollee, into a measure of results or effectiveness, such as the Placement/Wage Index, and then multiply the quotient by a Number (N), such as 1000, to move the decimal back and aid presentation. This method is summarized in the formula below:

$$\frac{\text{Placement/Wage Index (Effectiveness Measure)}}{\text{Average Cost/Enrollee (Cost Measure)}} \times 1000 =$$

Cost Effectiveness Measure

For example, if Program A had an average cost per enrollee of $1500 and a Placement/Wage Index of 193; and Program B had an average cost per enrollee of $1200 and a Placement/Wage Index of 183, their cost-effectiveness indexes would be calculated as shown below:

$$\frac{193}{1500} \times 1000 = 129 \qquad \frac{183}{1200} \times 1000 = 153$$

As the figures show, utilizing this cost-effectiveness measurement approach, Program B would be seen as more cost effective than Program A. This is to be expected in this approach where unit cost serves as the denominator in the cost-effectiveness equation, and where the impact of the unit costs upon effectiveness will vary considerably according to the size of that unit cost.

## 2. Proportionate Method

The second method of determining cost-effectiveness is designed to produce an impact upon the effectiveness measure which is proportional based upon the size of the unit cost in relation to another number rather than absolute. The way this is done is by establishing a cost factor in which average unit costs become the numerator and an appropriately chosen number - a dollar figure normally double the unit cost of the most expensive project - becomes the denominator as shown in the formula below:

$$\text{Cost Factor} = 1 - \frac{\text{C (average unit cost)}}{\text{N (appropriate number)}}$$

This factor can be used to reduce the effectiveness measure by a constant proportion of its value for every $1000 in unit cost. This results in equal change factors for equal increments of cost.

Let's apply this technique to look at Programs A and B which we discussed earlier. For the sake of an analysis, let's say that the N - appropriate number - or denominator in the equation should be $20,000.00.

| Program A | Cost Eff.Ind. | Program B | Cost Eff.Ind. |
|---|---|---|---|
| $1 - \frac{1500}{20,000} \times 193$ | = 179 | $1 - \frac{1200}{20,000} \times 183$ | = 172 |

As the results show, using this formula, Program A has a more favorable cost-effectiveness ratio than Program B. This is the opposite of the results obtained using the simple division method.

Which measure is correct? Is Program A or B preferable? The answer is it all depends. It depends on what your PIC deems to be the best way to assess cost-effectiveness, the results you obtain using that approach, the importance you choose to assign to the index rating, and the interpretations you give to the data you obtain.

As noted earlier regarding the Placement/Wage Index, no effectiveness index gives you answers. Such indexes are useful for ranking and comparison, but they do not furnish judgments. It is your responsibility to consider alternative indexes and then decide which will be most consistent the the perspective of your PIC, and will provide you with that information which will be most useful for decision-making purposes.

## Composite Effectiveness Indexes

A basic problem of both the simple combination effectiveness measures and the two cost-effectiveness measures discussed to this point is that they are relatively restrictive in their scope and do not provide a total picture of the projects or components being compared. One option that your PIC might want to consider in order to get a broader perspective on projects or components is composite effectiveness index composed of several factors weighted according to their importance.

### 1. The Performance Rating System

One very inclusive composite index is that developed by Don Menzi of the New York Planning Council. This index is called the Performance Rating System. Although it was developed for systematic evaluation and comparison of programs funded under the categorical manpower system existing before CETA, it is still applicable to many of the participant-serving projects/components of your PIC. It is particularly appropriate for those projects where a contractor or operator has unshared responsibility for participants from entry into the program to exit.

The Performance Rating System uses a cost factor x multi-factor effectiveness measure to determine effectiveness. The basic formula for the system is:

Cost Factor x Multi-factor Effectiveness Measure
= Effectiveness Index

The cost factor in the Menzi system is:

$$1 - \frac{\text{Average Cost per Placement}}{20{,}000}$$

The multi-factor effectiveness measure is a weighted average based on six factors:

1. Employment Rate (weighting = 40%)
2. Follow-up Completion Rate (weighting = 5%)
3. Retention of Job (weighting = 5%)
4. Wage Index (weighting = 10%)
5. Target Group Index (weighting = 20%)
6. Actual vs. Planned Placement Objectives (weighting = 20%)

The Target Group Index is developed using the established priority target groups of the planning council. The Wage Index measures the percentage by which the post-training wage exceeds the accepted Poverty Index for a family of four.

## 2. Another Composite Index

An example of another composite index developed by a CETA Prime Sponsor, employing the Menzi Model to measure the relative effectiveness of components and contractors, is described briefly below.

This rating index consisted of five factors weighted as indicated:

| | Weighting | |
|---|---|---|
| Factor | Component | Contractor/Service Provider |
| . Planned versus actual performance | 20% | 15% |
| . Extent of service to those "most in need" | 10% | 10% |
| . Extent to which participants complete component activities | 30% | 35% |
| . Extent to which participants achieve primary outcome specified for component | 35% | 30% |
| . Cost-effectiveness (cost per specified outcome) | 5% | 10% |
| Total Score - | 100% | 100% |

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Each factor was assigned possible points which could be scored on it according to its percentage weighting as shown in the chart below:

| FACTOR | COMPONENT MAXIMUM POSSIBLE SCORE | CONTRACTOR MAXIMUM POSSIBLE SCORE |
|---|---|---|
| Planned vs. Actual Index | 2.0 | 1.5 |
| Service to Those in Need Index | 1.0 | 1.0 |
| Completion Index | 3.0 | 3.5 |
| Outcomes Index | 3.5 | 3.0 |
| Cost Effectiveness Index | 0.5 | 1.0 |
| All Factors | 10.0 | 10.0 |

Then, rating scales and criteria for scoring points on each factor were developed. For example, the criteria and scoring procedure for the Performance versus Plan factor was:

| | Scoring | |
|---|---|---|
| Criteria | Component | Contractor |
| Met 100% of Plan | 2.0 | 1.50 |
| Variance of 0 to ± 10% | 1.5 | .75 |
| Variance of more than ± 10% | -0- | -0- |

By summing the scores on all factors, the Prime Sponsor had a straightforward method for comparing relative effectiveness among components or contractors within components.

### 3. Developing a Composite Index

Composite indexes have a number of distinct advantages as a means for facilitating the assessment of effectiveness. These include the facts that they:

- are more thorough and equitable than less inclusive systems
- present data in a simple, concise form
- place different programs on a common basis for evaluation purposes
- aid in the establishment of shared evaluation criteria for each project
- help to add an element of direction to the establishment of your evaluation plan
- foster healthy competition between contractors and components
- identify those performance criteria which your PIC considers most critical.

However, as the two foregoing examples demonstrate, there are a variety of factors which can go into a composite index, and any number of ways for weighting those factors. If you decide that a composite index might be appropriate and useful for evaluating your PIC's projects and components, you will have to determine what factors to include and the weight to assign to each factor. As you can imagine, this would be no easy task.

Even with its comprehensiveness, however, the composite index will not make decisions for you. The composite index, as the other effectiveness indexes discussed under this heading, is just another means for trying to make your decision-making more informed, easier, and hopefully, better.

Finally, the foregoing discussion has focused primarily upon the use of indexes as they relate to the participant side of your program. Obviously, the same principles and techniques can be applied to the EGS side. The essential consideration in doing this is to select common indicators and measurement criteria which have relevance for all of those projects which you want to compare.

## C. DOING IMPACT EVALUATION

The last method to be examined under this step is impact evaluation. As noted in the descriptions of this step, impact evaluation is an attempt to measure the extent to which your PIC's program has brought about change and/or accomplished its broader programmatic goals. There are three major areas for doing impact evaluation:

- Participant Change
- Cost-Benefits
- Community or Institutional Change

This section provides only a brief introduction to each of these types. Doing any form of impact evaluation would require that your PIC secure additional data and/or engage in substantially more advanced data analysis than was discussed up to this point. Therefore, if your PIC decides to undertake an evaluation of an impact nature, you should ensure that you already have or have access to the professional assistance necessary to get the best results possible from such an undertaking.

## Participant Change

Impact evaluations on participants normally look at the services (treatment) provided by a program to ascertain what the actual effects which can be attributed to the program are. Typical measures which are used to look at impact in terms of participants include:

- earnings gained
- private sector jobs secured
- promotions obtained for OJT participants
- new private sector jobs for retrained participants.

### 1. Participant Impact Evaluation Process

A standard impact evaluation process for participants would include the following elements:

a. The target group of persons for a specific program, and the goals of the program in terms of changes desired are identified.

b. A study sample is drawn from the parent population composed of the entire potential target group for a given program.

c. The sample is randomly assigned to either a treatment group or a "control" group. (Alternatively, instead of random assignments to a treatment group and a "control" group, a "comparison" group can be developed of persons as similar as possible to the treatment group and

Step 1

their experience tracked to provide the measure of what would have happened in the absence of the program.)

d. A pre-program measure is taken for both groups of indicators and characteristics which the program intervention is to change.

e. The treatment group is exposed to the program while the control group (or comparison group) receives either no service, the standard service (not including the treatment), or a placebo service.

f. At the conslusion of the treatment, one or more post-measures are taken of both groups on the indicators and characteristics previously examined. The interval between completion of the program and the post-tests is determined by an estimate of time needed for a stable condition to develop.

g. The pre-measurement to post-measurement changes in the indicators are calculated for each group, and the changes experienced by the control group (or comparison group) netted from the treatment group.

h. The result is then interpreted as the effect of the program. The net change is attributed to the program, and the problem is said to have been reduced by the amount of the net change.

Step 1

Two other useful alternatives for looking at participant change which do not require the use of either comparison or control groups, as discussed in the example process above, are:

- time series design
- follow-up studies.

## 2. Time Series Design

The time series design is an extension of before-after comparison which, despite certain limitations, can yield useful information on program effects. The design estimates the net effect of the program by measuring against an extrapolation of the past experience of program enrollees. To do this, the design calls for a series of pre-program measurements to establish the participants' pre-program status. After the program, a series of post-program measurements are taken. Every possible consideration -- such as the tendency of employment and earnings trends to deteriorate just before program enrollment, the state of economic activity, the nature of wage trends, and so forth -- are examined and then judgments made as to what would have occurred in the absence of the program. The post-program measurements are then compared to the adjusted and extrapolated trend of the pre-program measurements to yield an estimate of the effect of the program.

## 3. Follow-Up Studies

Follow-up studies are undertaken for basically three purposes:

- Client Assistance: to determine the immediate success or immediate need for additional services by a client who has recently left the program. This short-term follow-up generally is undertaken thirty, sixty, or ninety days after a client leaves the program.
- Short-term Assessment: to get some judgmental insights into what that longer-term evaluation is likely to show, and to begin to identify program weaknesses and make changes while services are still ongoing. This is also a short-term follow-up method.

  Often telephone calls to a limited number of recent terminees, based on who is available rather than randomness and done without reliance on controlled comparisons, can provide useful insights at low cost, so long as the evaluator keeps in mind that this is only a short-term indicator for primarily managerial purposes and cannot replace longer-term and more careful evaluation.
- Long-term Evaluation: to determine the longer-term success of the program graduate. This follow-up is conducted ninety days to a year or more after the client has left the program to collect information on what the client has gained from participation in terms of wages, job stability, and so on. The longer-term follow-up might include dropouts and nonplacements as well as placements for purposes of comparison.

Any one, or all of these forms of follow-up may be useful to your PIC - not only on the participant side, but also in looking at the continued impact of EGS services.

### Cost-Benefits Analysis

Another way of looking at the impact of your PIC's programs is in investment terms of costs and benefits (or return on the investment). Cost-benefit analysis is an attempt to assess all of the costs and benefits of a project or program in equivalent terms. There are a variety of cost-benefit approaches which have been devised.

The chief drawbacks to these approaches are that (1) it is very difficult to define what should be included or calculated as either a cost or benefit, and (2) even after working definitions are operationalized, a large amount of estimation goes into the analysis, and thus the comparison of benefit-cost ratios is a highly speculative business. This is not to say, however, that your PIC should not do cost-benefit analysis. Only, that you should be aware of its limitations and its actual explanatory value.

### 1. Types of Cost-Benefit Analysis

These include:

- *net present value approach*: subtracts the present value of costs from the present value of benefits. If the result is positive, the program is viewed as worthwhile.
- *benefit-cost ratio*: uses a ratio of the present value of benefits divided by the present value of costs. If the ratio is greater than 1, the program is viewed as worthwhile.
- *internal rate of return method*: computes the discount rate required to equate the present value of the future stream of benefits to the present value of costs. If the resulting interest rate is greater than the "opportunity costs" of the funds used in the program, the investment is worthwhile.
- *payback method*: divides the present value of costs by the pre- to post-program increase in annual trainee taxes. The result is the number of years it would take for the taxes paid to equal the program costs. A variation of the payback method is the "earnback" method which divides the

present value of costs by the average pre- to post-program net gain of annual income by participants. The result is a figure which represents the number of years required for participant income increase to equal program costs.

The figure which follows provides a simple comparison of these four basic approaches:

## Cost Benefit Approaches

**Net present value**

| | |
|---|---|
| Present value of costs | $1,000 |
| Present value of benefits | 1,500 |
| Net present value | $ 500 |

**Benefit-cost ratio**

| | |
|---|---|
| Present value of benefits | $\frac{\$1,500}{1,000} = 1.5$ |
| Present value of costs | |

**Internal rate of return**

| | | |
|---|---|---|
| Present value of benefits | $1,500 | |
| Present value of costs | 1,000 | $\longrightarrow \frac{500}{1,000} = 0.50$ |
| Income of . . . | $ 500 | |

**Payback**

| | |
|---|---|
| Present value of costs | $\frac{\$1,000}{200} =$ five years |
| Pre- to post-program increase in trainee taxes | |

## 2. Applying a Payback Method

The payback method is the least complex and easiest form of cost-benefit analysis to apply. A PIC devised the following formula to determine the required payback period to the community for the classroom training projects which it sponsored:

$$\text{Payback in mos.} = \frac{\text{Training Cost}}{\left(\begin{array}{c}\text{Post CETA Wage} - \\ \text{Pre CETA Wage}\end{array}\right) \text{X No. Ent. Empl. X Avg. Mo. Working Hrs.}}$$

It applied this formula to its four classroom training projects and obtained this ranking:

| Project | Payback Period in Months |
|---|---|
| A | 1.8 |
| B | 7.0 |
| C | 7.2 |
| D | 20.2 |

This ranking is especially interesting when reviewed in conjunction with the same projects' results in terms of placement rates as presented below:

| Project | Payback Period | Placement Rate |
|---|---|---|
| A | 1.8 | 48.1% |
| B | 7.0 | 84.8% |
| C | 7.2 | 54.5% |
| D | 20.2 | 83.7% |

These comparisons dramatically illustrate the point that your PIC should not depend solely upon single measures or indicators to assess the impact of your projects or components.

### Community and Institutional Change

Other possible areas which could be examined and questions which might be asked in terms of broader impact, especially as they relate to your PIC's EGS activities, include:

### Institutional Impact of Title VII

- Has the PIC stimulated new business participation in local employment and training efforts?
- Has the PIC stimulated new responsiveness on the part of "traditional" employment and training deliverers to the needs of business?
- Is there a comprehensive planning approach between PIC and the local Employment and Training Council?
- Has the PIC stimulated any areawide planning between different Prime Sponsorship areas and other PICs?

### Attitudinal Impact of Title VII

- How has the PIC program affected the attitudes of employers toward the program, toward employment and training programs in general, and toward eligible clients as potential employees?
- How has the PIC program impacted on the attitudes and motivations of participants?

### Patterns of Service

- What are the characteristics of the participants being served? How do they compare to regular CETA clients, goals, and some statement of "universe of need"?
- What are the characteristics of the businesses being served? Where do they stand in the overall economic structure of the area?

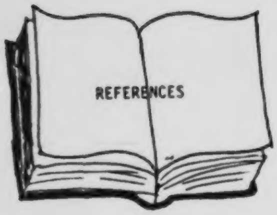
### Cost

- What reasonable cost calculations can be made about some of the above impacts?

"Stage H. Evaluate Results," pp. III-355 - 363 describes techniques that you might use to gather and analyze impact data of the institutional or community change type.

## CONCLUSION

In conclusion, as the preceding discussion indicates, there are numerous evaluation options available to your PIC. You should pick those evaluation approaches and measures which you feel will give you that information which you need to know in such a way that it can assist you in making decisions and furnishing direction to the PIC.



Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Step 2

## Assign Evaluation Responsibilities and Establish Procedures

The purpose of this step is to establish the general framework for administration of your PIC's evaluation. This involves considering the Prime Sponsor's evaluation approach; selecting staff to administer the evaluation; establishing the process for a systematic approach to the evaluation; and determining the role of the Council.

Key Concepts

- Evaluation Review Process: basic method and procedures to be adhered to in assessing PIC performance.
- Evaluation Responsibilities: roles and duties for all individuals to be involved in the conduct of the evaluation.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | Excellent | Above Avg. | Average | Below Avg. | Poor |
|---|---|---|---|---|---|
| • 'Knowledge | | | | | |
| • Capabilities | | | | | |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Once you have decided on the scope and nature of your PIC's evaluation, the next step is to identify the basic tasks to be performed and assign responsibility for their performance. This involves:

- establishing procedures for an organized, systematic approach to the evaluation
- determining the role of the Council
- selecting staff to administer the evaluation.

As in the development of your management or monitoring plan, a basic consideration here must be the quality and scope of the Prime Sponsor's evaluation system. If that system is adequate, you may want to interface with it and rely upon it to collect and array the data, and generate the reports that you need for evaluation purposes.

This will reduce the level of staff effort that you have to put into the evaluation process. If, on the other hand, you find that the Prime Sponsor's system is inadequate for your PIC's needs, then you will have to expand your responsibilities accordingly.

### Evaluation Review Process

The first task which your PIC should accomplish within this step is to establish the basic operating procedures and working arrangements for administration of your evaluation efforts.

Step 2

## A. ESTABLISHING THE EVALUATION REVIEW PROCESS

Your PIC's evaluation review process is the method and approach it will employ to govern and direct its evaluation activities. The key issue here is to establish the basic operating procedures and working arrangements for administration of your evaluation efforts. These items should be specified at the outset of your evaluation planning. General questions to be answered include:

- Who will have ultimate responsibility for administering the evaluation program?
- Who will supervise the evaluator(s)?
- What procedures will be devised for the systematic review of evaluation plans, methodologies, data, and findings?
- Who will be involved in the analysis of evaluation reports and in the interpretation of findings?
- What steps will be instituted to ensure that deadlines are observed?

More specific issues to be resolved are:

- the overall purpose of your PIC's evaluation;
- expectations regarding the evaluation - what it should enable you to do
- the resources which will be expended for the evaluation
- methods for coordinating evaluation activities with those being undertaken by the Prime Sponsor.

- due dates for any reports or documents from the evaluation
- the methods for monitoring the evaluation (e.g., monthly meetings or progress reports)
- responsibilities of staff in the evaluation
- the person(s) to whom staff charged with evaluation responsibilities should report and be accountable
- policies regarding the retention of records and raw data
- procedures for resolving problem issues as they occur
- the role of the Council in the evaluation.

## B. DEFINING THE COUNCIL'S ROLE

Defining the role of the Council in the evaluation is an especially important task. Regardless of the specific responsibilities that you decide upon, it is desirable that the Council play an active role in the administration of evaluation activities. Possible options include:

- appointing a subcommittee of the Council to review and monitor all evaluation activities
- having the evaluator(s) report to the Director, who periodically apprises the Council regarding the evaluation program and its progress.

### Evaluation Subcommittee

If you decided to appoint a subcommittee to oversee all evaluation activities, that subcommittee could:

- participate in the selection of an evaluation staff person
- designate projects to be evaluated

- ensure the provision of adequate resources for the evaluation
- review and critique the evaluation design
- monitor progress on the evaluation
- receive evaluation reports and findings, and comment on them before forwarding to full Council
- make recommendations to the full Council on future activities based on evaluation findings.

If, as part of your monitoring planning, you decided to establish a subcommittee to monitor program performance, it might be advisable to combine the monitoring and evaluation functions into a single subcommittee for program review and evaluation.

To repeat, however, no matter how your PIC defines its exact role and responsibilities in the evaluation area, it is essential that the Council be involved to a meaningful extent.

## C. SELECTING EVALUATION PERSONNEL

In order to determine who should be responsible for the actual conduct of your PIC's evaluation, you should answer the following questions:

- How much emphasis is being placed on the evaluation at your PIC?
- What resources will be made available to implement your evaluation plan?
- Do any current staff members have the capability (or the time) to perform evaluation research?
- Would it make more sense to hire a full-time evaluation specialist or employ private contractors on an ad hoc basis?

The central issue in the selection of evaluation personnel is the amount of emphasis that your PIC is placing on evaluation, and the resources that will be made available for its implementation.

## Limited Scope Evaluation

If your PIC has a very narrow focus or limited scope for its evaluation--one which involves using existing data sources--then it can probably be accomplished with incumbent staff. In order to meet basic PIC evaluation requirements, a staff member need not have a wealth of experience or formal education. It is more important that the individual(s) selected to perform evaluations be familiar with PIC programs, operations, and clientele. The essential requisites for basic evaluation research are a logical mind, attention to detail, and the ability to follow instructions.

The primary requirement for an effective evaluation using in-house or existing personnel is that a person or persons be given definite responsibility and specific assignments for the evaluation. Studies have also found that when that person is a "specialist", i.e., spends most of his/her time on monitoring and/or evaluation activities, as opposed to a "generalist", i.e., must get involved in myriad other activities, evaluation tends to be accomplished in a more complete, professional, and utilitarian manner.

## Broader Scope Evaluation

If, on the other hand, your PIC decides to undertake a broader scope or more sophisticated evaluation--one which requires obtaining additional data using techniques such as survey research or follow-up studies--then you may want to hire an evaluation specialist or an outside contractor. If you must go outside to secure evaluation assistance, there are three sets of skills that you should look for:

- Conceptual Skills: ability to see the entirety of your PIC's program activity, to translate goals into meaningful indicators and measures which can be used to assess progress toward those goals.

Step 2

- Methodological Skills: ability in areas such as evaluation design, statistics, econometrics, quantitative methods, and questionnaire and survey research construction.
- Communication Skills: ability to interact well with others both in obtaining data and presenting evaluation findings.

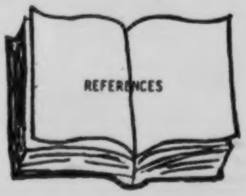
All three of the skills are equally important to ensuring rigorous and useful evaluations for your PIC.

### Managing the Evaluation Process

Regardless of how you staff your evaluation effort, you should create a definite work plan for monitoring staff performance and progress. Review sessions should be scheduled between the evaluation administrator and staff to confirm that the assignment is proceeding in a timely and efficient manner. Close and systematic monitoring will ensure that any problem issues are addressed before they jeopardize the evaluation.

## CONCLUSION

In conclusion, once you have established a basic evaluation review process and assigned responsibilities and staff related to that process, you have created the framework within which to accomplish your PIC's program evaluation.



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Step 3

## Construct Evaluation Research Design (Plan)

The purpose of this step is to construct your PIC's evaluation research design. An evaluation research design is a detailed plan for implementing your evaluation. The design specifies: the purpose of the evaluation; its objectives; data sources; methodology--techniques for data collection, aggregation, and analysis; instruments; work plan and schedule; and reports to be produced as a result of the evaluation.

### Key Concepts

- Evaluation Research Design - detailed plan for implementing evaluation.
- Hypothesis - proposition that is consistent with known facts and therefore presumed as possibly true, but which requires further investigation for verification.
- Validity - extent to which evaluation actually measures what it is intended to measure taking all important factors into account.
- Reliability - extent to which evaluation would produce the same or consistent results through repeated tests over time using identical procedures and instruments.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | Excellent | Above Avg. | Average | Below Avg. | Poor |
|---|---|---|---|---|---|
| • Knowledge | | | | | |
| • Capabilities | | | | | |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

Step 3

## INTRODUCTION

The next step after determining the scope and nature of your evaluation is to construct your PIC's evaluation research design. An evaluation research design is a formal written statement of the detailed plan for implementing your PIC's evaluation.

## A. CONDUCTING AN EFFECTIVE EVALUATION

Regardless of the type of evaluation your PIC decides to undertake or the nature of your plan, there are three general concepts which are central to the conduct of an effective evaluation. These concepts are:

- Hypotheses
- Validity
- Reliability

### Testing Hypotheses

All evaluation research begins with a set of assumptions about the program or phenomenon to be studied. These assumptions may be formally expressed in hypothetical terms, or they may be stated only indirectly. It is not always necessary for your PIC to develop written hypotheses for its evaluation, but they are useful in that they serve to focus the study on the key issues to be examined.

Technically, a hypothesis is a proposition that is consistent with known facts and therefore presumed as possibly true, but which requires further investigation for verification. An hypothesis must meet the three criteria:

- It must be apparent which of its concepts or elements is caused and which is causal.

- It must be stated in such a way that it can be tested.
- It should express its concepts in both a predictive and explanatory manner.

In addition, an hypothesis must be stated in precise, logical, and positive terms, as the examples below indicate:

| HYPOTHESES - EXAMPLES |
|---|
| Unemployment will be less among those teenagers who successfully complete a vocational skills training program than among nonparticipants. |
| The average hourly wage will be higher for those target group members who participate in and complete classroom training than for those eligible participants who do not participate in such a program. |
| More jobs will be created for CETA-eligible participants through an economic development linkage project than if no such project existed. |

The results of the research are, in effect, the test of the hypotheses. The hypotheses are either confirmed or invalidated by your research findings.

Hypotheses help you to focus your evaluation and to obtain answers to those questions which you deem most essential. By ensuring the validity and reliability of your research effort, you can be certain that those answers which you obtain are correct.

Ensuring Validity

In order for your evaluation design to be most meaningful and explanatory, it must possess internal validity. If a design has internal validity, it has the capacity to distinguish between the effects attributable to your program, and those resulting from other factors.

For example, an evaluation of a training program that compared the post-training income of trainees and nontrainees would have validity only if all other factors affecting income (e.g., attendance, gender, type of employment, etc.) were isolated.

Your research design should enable you to

- identify external variables which may affect program results;
- measure the extent of their influence, if any; and
- document the degree to which results were attributable only to the program in question.

## Ensuring Reliability

If the findings from your PIC's evaluation are to be most useful to you for decision-making, they must not only be valid (i.e., measure what they say they are going to measure taking all important factors into account), they must also be reliable (i.e., produce the same or consistent results through repeated tests using identical procedures and instruments).

To ensure reliability, your PIC should develop a written statement of the specifications governing its study. Each methodological step must be described in detail, as must the characteristics of the individuals or entities who are to be the subject of the evaluation. This will provide you with a blueprint in a rigorous and reliable manner which can be used to administer your evaluation and give you the confidence that your findings are accurate and adequate enough to allow you to take those steps necessary for program review and modification.

## B. PREPARING YOUR PIC'S EVALUATION PLAN

To prepare your PIC's specific evaluation research design, so that it tests those hypotheses and ensures reliability and validity, there are several questions which you need to answer.

## Evaluation Questions

These questions include:

- Why is the PIC's program being evaluated?
- What are the primary and secondary objectives (standards) of the program?
- Which of these objectives (standards) are most easily measurable?
- What are the hypotheses you want to test?
- What resources are available to evaluate the program?
- How much time is permitted for the evaluation?
- What data is needed?
- Where does this data exist?
- How can this data be obtained?
- How will this data be analyzed?
- How will the findings be used?
- What format will be best for presenting your evaluation findings?

Your answers to these questions will determine the ultimate structure and format of your evaluation. Once you have made these determinations, they should be summarized and presented in a formal written plan for evaluation of your program.

## Evaluation Plan

Your PIC's evaluation plan should consist of the following sections:

Purpose: states the reasons why the study is being undertaken. Incorporates a brief description of the program and its goals.

Rationale: states succinctly reasons for, and purposes of, evaluation, and how study results will be used.

Objectives: specifies objectives and scope for the evaluation.

Methodology: the heart of the research design, states exactly how the evaluation will be performed. Details:

- data that will be needed
- techniques of data collection
- means of data aggregation and analysis.

Instruments: describes the types of instruments and worksheets needed to collect and treat the data and discusses the process by which they will be developed.

Schedule: sets out a timetable to govern the progress of the evaluation. Highlights all deadlines and due dates.

Reports: indicates the types of reports that will result from the evaluation, including their content, format, and submission dates.

The pages which follow provide some additional information regarding each of the elements.

## 1. Statement of Purpose

This section tells why you are doing your evaluation. Specificity is desirable, since the rest of the design and, in fact, the activities of your evaluators should be relevant to the purpose, or purposes, of the study. Examples of statements of purpose follow:

- To compare the effectiveness of different components with the same purpose.
- To furnish data relevant to a determination of whether a particular program should be continued.
- To determine the extent to which program type and mix contribute to the achievement of the PIC's overall goals.

- To determine the relative cost-effectiveness of a number of programs concerned with a particular target group
- To secure information which would lead to improvement in the management efficiency of a project
- To determine the quality of manpower services given to a target area or group
- To assess the status of a project versus its objectives, and the causes for failure to meet objectives
- To assess whether the attitudes of local employers regarding CETA have changed as a result of PIC programs
- To determine whether work-related attitudes of participants have changed as the results of participation in a program, or in a group of programs.

### 2. Rationale

This section describes the uses to which the study will be put and the reasons for doing it. The rationale should state why the areas chosen for evaluation can provide beneficial insights for planning or administration. If the evaluation was planned as part of your program planning and the program was structured accordingly, the rationale should explain this. The rationale for each area of inquiry should be as succinct and clearly stated as possible. Abbreviated examples of rationales follow:

- When the OJT Project was funded and contracted, attitudinal questioning of the employees at the time of enrollment and three and six months after was agreed upon and written into the contract. It is also important to determine whether the employer has been satisfied by the work of the participants. Whether the program is continued will depend partly on the evaluation.

- New areas of employer needs have become apparent since the beginning of the PIC program. A study should be done to determine the extent to which the needs of employers are being met and what should be done, if anything, to amend the program.

## 3. Objectives

Your objectives should be derived directly from the purpose and the rationale. This section states in specific terms what it is your study is designed to find out. Your objectives can be phrased as questions or as action sentences.

This is an important part of your evaluation plan since it is here that the first real structuring of the evaluation begins. The methodology of inquiry and analysis, the instruments to be used, and the persons to be contacted will depend on your objectives. The objectives can be changed, added to, or subtracted from, while the details of the methodology are being worked out.

Taking as an example the OJT Project mentioned above, some of the objectives might be:

- To determine the extent and causes of dropout, absenteeism, and malingering in the project, and to relate the finding to the nature of recruitment and assessment
- To determine what the participants expected from the project before beginning it in terms of
  - the difficulty of the work
  - their ability to cope with the work
  - the effect of work on their health
  - what it would do for the community
  - its contribution to their financial independence
  - its effect on their general morale.

Step 3

- To determine participant attitudes on the same questions three and six months later.
- To determine what knowledgeable staff of the employer think about the quality of work done and the level of effort exhibited by project participants.

## 4. Methodology

After you have set your evaluation objectives, you need to devise a method for realizing them. This section describes that methodology. It should include a description of:

- data that will be needed;
- means for collecting that data;
- a plan for processing and analyzing the data;
- a scheme for presenting the data in a meaningful way, one which will provide a base for making judgments.

In addition to the above, it is convenient to include in the methodology the following types of information:

- Arrangements which must be made to carry out the evaluation
- Discussion of anticipated difficulties and ways of meeting them
- Description of the management decisions necessary to implement the evaluation

In describing the means of collecting data, the following topics should be addressed, if applicable:

- Statistical techniques to be used (sample size, statistical tests, confidence intervals, etc.)
- Questionnaires to be administered
- Interviews to be conducted

- Objective testing to be done
- Records to be reviewed.

## 5. Instruments

This section identifies all instruments which you will need to develop to implement your evaluation, describes their basic characteristics and the process which will be followed to develop them. Items which might be included here are:

- questionnaires
- lists of interview questions or topics
- lists of observation criteria
- lists of special data to be collected from project operators.

## 6. Work Plan and Schedule

This section sets out the timetable for your evaluation. This timetable should include: dates for pre-testing and post-testing; dates for conducting interviews and observations; dates for all other activities described in your design. Additionally, the timetable should include dates for submittal of evaluation reports. This section should also specify the staff to be assigned to the evaluation, their level of effort, and the monies and other resources to be committed to ensure a successful evaluation.

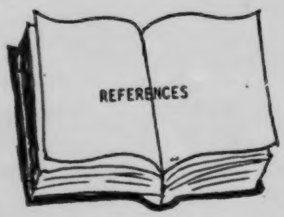
## 7. Reports

To repeat, this section indicates the types of reports that will result from the evaluation. It should specify for each report the:

- use of the report
- audience for whom it is intended
- content
- format
- submission date.

## CONCLUSION

In conclusion, your PIC's evaluation research design (plan) is the means for getting that information which you will need to make major programmatic decisions and to change program direction and operations over time. A similarly constructed plan will give you the data necessary to make those decisions in a systematic and informed manner.



Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Step 4

## Create Research and Data Gathering Instruments

The purpose of this step is to develop all research and data gathering instruments necessary to implement your PIC's evaluation plan. The most common data gathering instruments are: baseline data worksheets, survey questionnaires, and interview guides.

### Key Concepts

- Baseline Data Worksheets - forms designed to permit uniform and easy analysis of data gathered routinely through PIC's management reporting system.
- Survey Questionnaire - instrument designed to collect data, opinions, or attitudes regarding aspects of a PIC's program.
- Interview Guide - format which provides a logically sequenced and comprehensive list of questions regarding a certain area of PIC performance to be asked in a personal interview.

### Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Your PIC should use the interim between planning and actually implementing its evaluation to create all of the instruments and worksheets to be used for the research. Your instrument needs will be dictated by the objectives for your evaluation and the data collection techniques to be employed. If your PIC restricts its evaluation to the outcome area, the primary instruments you will have to create will be:

> Baseline Data Worksheets - forms designed to permit uniform and easy recording of basic data pertaining to participant or project progress for analyzing existing data.

If, on the other hand, your PIC broadens the scope of its evaluation, there are two commonly-used instruments you might choose to develop in order to secure additional data:

> Survey Questionnaire - an instrument designed to capture data, opinions, or attitudes regarding aspects of your PIC's program. The questionnaire may consist of forced-choice questions; scaled items; or some other form of quantifiable responses.

> Interview Guide - a format which provides a sequenced and comprehensive list of open-ended questions to be asked in a personal interview.

The characteristics and construction of these instruments are discussed in the following pages.

### A. DEVELOPING BASELINE DATA WORKSHEETS

As noted, if your PIC decides to perform only an outcome evaluation, most of the data you need will be easily retrievable through either required reports generated for the Department of Labor or your PIC's internal management reporting system. Therefore, the primary data gathering instruments you will have to develop are baseline data worksheets. These worksheets will be used to break out information into the categories and against those criteria or indicators which you want to use to assess your program.

The primary criterion that you should observe in creating a baseline data worksheet is that it must have the capacity for recording and presenting all relevant data in an efficient and usable manner. Items normally included on baseline data worksheets for participants are:

- demographic information (e.g., education, age, race/ethnicity)
- treatment or services provided
- outcomes achieved
- cost information.

EGS-type items normally include:

- demographic or quantitative information (e.g., employers contacted; TJTC vouchers issued; interagency agreements reached)
- products or results achieved
- cost information.

If your PIC has created the management reporting display formats as discussed under "Stage 1, Step 3, Design Management Reporting and Monitoring System," then you can use the same or similar forms as baseline data worksheets to record and analyze data for summary evaluation. For illustrative purposes, a simplified version of a basic data worksheet for analyzing performance against plan or standards is presented below.

| Project/ Area | Indicator | Standard or Plan | Actual Performance | Variance % + or - |
|---|---|---|---|---|
| | | | | |

## B. DEVELOPING SURVEY QUESTIONNAIRES

The following discussion highlights basic factors which your PIC should be aware of in creating a survey instrument or questionnaire. These factors are:

- Format
- Language
- Layout
- Pre-testing

However, developing a sound survey instrument is a science requiring knowledge and skills in the areas of survey research and questionnaire design. Therefore, if your PIC decides to implement a survey questionnaire, you should ensure that you either have or can secure the expertise necessary to make that survey successful.

### Format

A questionnaire is basically a series of questions or items relating to subject matter about which the potential respondent may reasonably be expected to have opinions, attitudes, or information.

Survey questions may either be forced-choice or open-ended. Forced-choice questions list a full range of possible answers, one of which should best represent the views or status of each respondent. Open-ended items ask more general questions which may require expansive responses. Therefore, possible answers are not listed.

A questionnaire may contain either or both forced-choice and open-ended items. In addition, the instrument may include scaled or ranking items. These latter items ask the respondent to assign a numeric value to his or her response. Examples of these three types of questions are listed on the following page.

**Example: Forced-Choice Item**

What is your general opinion of the local CETA program? (Check one.)

| ______ | ______ | ______ | ______ |
|---|---|---|---|
| Very Favorable | Somewhat Favorable | Somewhat Unfavorable | Very Unfavorable |

**Example: Open-Ended Item**

What is your general opinion of the local CETA program? Discuss.

**Example: Scaled Item**

What is your general opinion of the local CETA program? (Circle the appropriate rating.)

Positive — Negative

7 6 5 4 3 2 1

The advantages of forced-choice and scaled items is that they:

- provide discrete response categories to permit precision in capturing respondent information;
- encourage responses because they can be answered rapidly; and
- tend to compel respondents to provide some answer or rating for each item.

Open-ended questions have the advantage of encouraging more expansive and even anecdotal or explanatory replies. However, experience suggests that respondents to mail questionnaires are less likely to answer an open-ended than a forced-choice item. Open-ended questions are also difficult to quantify and compare with other responses. The types of items to be used in a questionnaire will be dictated by the nature of the information required. The more specific discriminations that your PIC needs to be able to make in areas or on items, the more advisable it is to use the forced-choice format.

## Language

Regardless of the type of questions that you decide upon, each survey question should be as direct and as specific as possible. The language used should be familiar to the respondents. Jargon and multi-syllabic words should be avoided. To the extent possible, each question should be worded so that every respondent would agree on its meaning and interpret it in the same way.

## Layout

Your survey instrument should be conceived as a complete entity. The sum of its items should have the potential of producing the full range of information desired by your PIC. Each item should serve a purpose and the item sequence should provide a natural progression -- preferably from the general to the specific. Typically, the first one or two items on a survey instrument should be general questions designed to introduce the subject matter and gain an overall impression of the respondent's views. Subsequent items should deal with significant elements of the subject in a logical sequence.

## Pre-Testing

A pre-test serves a number of purposes including:

- ensuring uniform understanding of instructions, items, and response categories
- providing an index of the time required for the survey's completion

- confirming whether or not the desired information can be acquired
- securing a perspective on the advisability of any "sensitive" or controversial items
- obtaining an informed opinion on the format and appearance of the instrument as well as of the sequence of the items.

All survey instruments should be pre-tested prior to administration. The preferred method of pre-testing is to have three or four members of the target group complete the questionnaire and then discuss it as a group with an evaluator. However, in the event of a small target group, the pre-test can be administered to nongroup members who are familiar with the program being evaluated.

## C. DEVELOPING INTERVIEW GUIDES AND PROCESS

An interview guide is merely a specialized form of a questionnaire. Therefore, the same basic principles which apply to questionnaire development apply to the interview guide. However, there are some particular characteristics of a guide for a personal interview. These characteristics include:

- an introductory statement regarding the purpose of the evaluation, and particularly the interview
- opening questions that are general in scope and which encourage the interviewee to be expansive in his or her remarks
- a flexible ordering of questions in the event that the interviewee addresses some of the issues before they are specifically raised by the interviewer
- a core of key issues which must be asked as a minimum if the interviewee is being somewhat nonresponsive

- sufficient blank space to permit the interviewer to record responses
- concluding remarks to advise the interviewee of how the interview data will be used and to answer any questions the respondent may have.

Given the fact that the interview is a personalized interaction, the results are as dependent upon the method employed by the interviewer as upon the Guide. Therefore, if your PIC decides to do personal interviews prior to the conduct of any interviews, you should convene everyone assigned to do the interviewing to discuss the process.

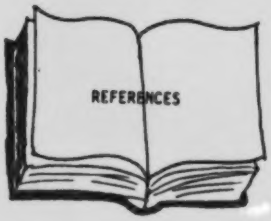
In this meeting, the interviewers should achieve consensus on their understanding of the core questions that must be asked and the style in which the interview should be conducted (e.g., formal or informal). The interviewers should also agree on the manner in which follow-up questions should be asked in order to expand or clarify responses. Finally, the interviewers should review a prototype interview write-up so that they understand the content, level of specificity, and elaboration expected in their interview reports.

## CONCLUSION

There are other research instruments which your PIC might choose to employ rather than or in addition to questionnaires, interview guides, and baseline data worksheets. However, the general criteria for developing those instruments are similar to the principles stated for the three specific types discussed under this step. In conclusion, some general guidelines which your PIC should follow in creating evaluation research instruments include:

- Restricting the data collection effort to that information required to achieve the objectives of the evaluation
- Ensuring that your instrument is comprehensive enough in scope to answer all questions which are important to your evaluation effort
- Making the wording of items simple and nontechnical so that they can be easily interpreted by respondents
- Defining technical terms, if they must be used, so that they can be understood uniformly by both the respondent and the data collector
- Designing the instruments so that they are streamlined in format and easy to use.

Adhering to the foregoing guidelines will greatly enhance the utility of any special evaluation research instruments that your PIC has to create.



Olympus Research, *Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors* (Springfield, VA: U.S. Department of Commerce, 1975).

Fink, Arlene, and Kosecoff, Jacqueline, *Evaluation Primer* (Washington, D.C.: Capitol Publications, Inc., 1978).

## G. MONITOR PROGRAM

Purpose: To assess and redirect program activities as necessary.

**Steps**

1. Analyze Planned versus Actual Performance
2. Initiate Follow-up Corrective Monitoring
3. Ensure Necessary Corrective Actions

Step 1

## Analyze Planned Versus Actual Performance

The purpose of this step is to assess program and project activities to ensure progress toward goals and to identify areas in which intervention and/or modifications may be required. The step involves collecting data through your PIC's management reporting system, and then arraying and reviewing that data.

Key Concepts

- Monthly Reports - basic monitoring data increments to be submitted by all PIC projects.
- Control Limits - range within which variance from planned level of performance is tolerable.
- Warning Light - indicator that project has exceeded control limit for a given area of preference.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

As discussed earlier, the primary means to monitor your PIC's performance is by measuring the relationship between planned and actual performance. The purpose of this monitoring is to assess program and project activities on an ongoing basis so that:

- problems may be detected as soon as they emerge
- sources of problems may be isolated
- remedial action may be instituted while the program or project is still in progress.

Your PIC's management reporting system will provide the basic information needed to review performance against plan. By arraying this information on your management reporting display charts, you will be able to easily identify areas in which there may be problems.

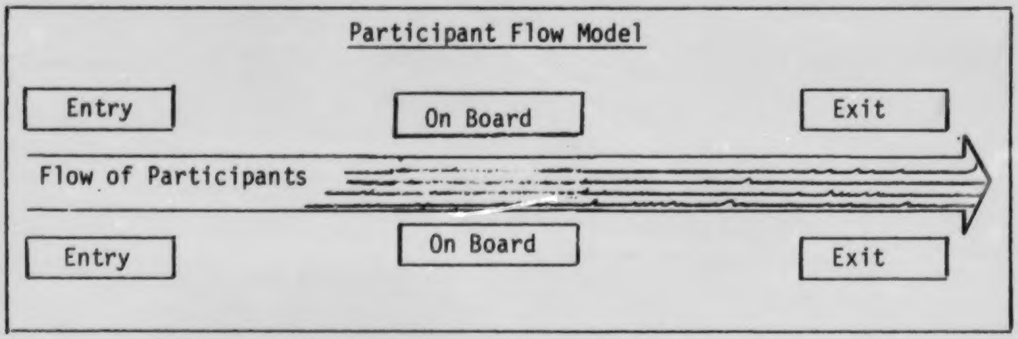
## A. LOOKING AT PERFORMANCE VERSUS PLAN DATA

The specific manner in which your PIC looks at performance versus plan data will be determined by how you have divided management review responsibilities, your management reporting system, and monitoring plan. However, there are some basic techniques or steps that your PIC might want to employ in doing your performance versus plan analysis.

### Performance Versus Plan Monitoring - Overview

Performance versus plan monitoring is primarily based upon a process model for analyzing program progress. The flow process model can be applied to both the particiant and the EGS side of your program.

**Participant**: On the participant side, the basic flow is defined by how a participant moves through the program. This is illustrated in the figure below.

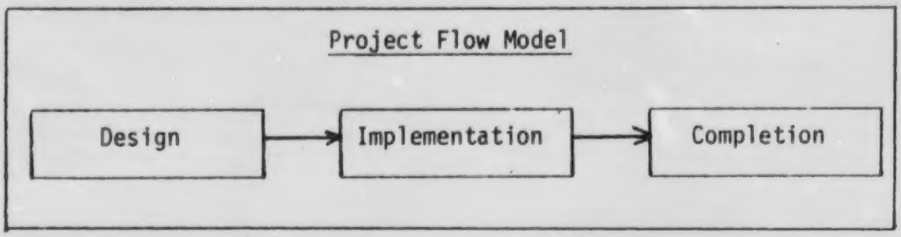

Participant Flow Model
Entry
On Board
Exit
Flow of Participants
Entry
On Board
Exit

As the figure indicates, there are three basic stages to the participation flow model:

- Entry - a person is enrolled in a specific project or activity
- On Board - the person is participating in that project or activity
- Exit - the person leaves the project or activity

**EGS**: On the EGS side, the basic flow is defined by each project itself. As on the participant side, there are three major stages to project activities:

- Design - project plan and specifications are developed
- Implementation - the project is initiated and activities/tasks accomplished
- Completion - the project is concluded.


Project Flow Model
Design
Implementation
Completion

Step 1

## Performance versus Plan Monitoring - Application

At a minimum, your PIC's performance versus plan monitoring system must include the necessary measures to allow you to monitor at these three checkpoints for both your participant and EGS projects. As noted earlier, the exact measures that you choose will depend upon the scope, nature, and intent of your local projects as defined in your program operation plan. The important factor at this point is

- to get data
- to record it
- to review it in such a fashion that it enables you to make valid decisions regarding program performance.

### 1. Obtaining Data - Monthly Reports

Monthly reports are the basic data increments for your PIC's monitoring system. These reports should be provided by all staff and contractors involved in either participant or EGS projects. The content of these reports should be elements directly keyed to the indicators or measures which have been identified as central in the program planning process and decided on in developing your PIC's monitoring plan.

Participant-Related Reports: Items or elements which should be included on a report from a participant-serving project, using the participant flow checkpoints identified earlier, would be:

- On Board: Persons who are enrolled in the program at the beginning of the month
- Entries (new participants): Persons who enroll in the program during the month
- Exits (terminations): Persons who cease to be enrolled in the program during the month for any reason, including:
    - Placements - persons who enter employment during the month or who enter an initial employment period

420

- Other positive terminations - persons who transfer to other training, return to school, enter the military, or go on to other unsubsidized employment

- Nonpositive terminations - persons who left the program for reasons other than (a) and (b) above

- Completers in holding - persons who successfully complete the program during the month and are waiting for an appropriate job opening.

Other items which are frequently included in monthly reports include participant characteristics and financial measurements (accrued expenditures and the portion of expenditures transferred directly to participants).

To the extent possible, you should track common data elements for all those projects which are participant-serving (e.g., classroom training, OJT, upgrading, retraining). In addition, if the common data elements do not account for important services or activities undertaken within a project, then supplemental elements or indicators should be added. Examples of such indicators related to intake and assessment are:

- number of counseling services held
- number of assessments and tests given.

In conclusion, the essential consideration for reports from your participant-serving projects is that they employ common data elements supplemented by any other measurements particular to each project.

EGS-Related Reports. The majority of the EGS projects which your PIC will initiate will probably differ significantly in nature and intent from one another. Thus, it is unlikely that you will be able to establish common data elements (e.g., entry, exit, client characteristics) for reporting on them.

However, it is possible to develop a common monthly report format for EGS projects. A possible format for reporting on EGS projects is presented below:

| Planned | Actual |
|---|---|
| • Products/Deliverables Expected | Products Produced |
| • Activities/Tasks Projected | Activities/Tasks Completed |
| • Results Expected | Results Achieved |
| • Projected Expenditures | Actual Expenditures |

The format above relates back to the time-phased flow model for EGS projects presented earlier. To use the format with each EGS project that you operate, you determine, using the program operations plan, the indicators which are appropriate for each area and then have the operator report accordingly against those indicators.

## 2. Recording or Charting Data

As your PIC gets data from each project, you must convert it to summary form to ensure that it enables you to review overall program performance and performance by components or service deliverers. If you have completed the earlier step on designing your PIC's management reporting system, then you've already developed these formats.

To repeat, these formats must be laid out to enable you to easily review, visually, total current program activity and to compare actual with planned performance. These formats can employ either tables of numbers or graphic charts. Your PIC should use the format(s) which you find most utilitarian for each type or level of program review that you must do.

## 3. Reviewing Data

The primary purpose of your PIC's data review is to identify areas in which performance differs significantly from the plan. This is normally done by assessing variance from the plan

Step 1

and comparing it to some pre-set control limit which indicates an acceptable level of variance. Since control limit is a central concept for your review of program performance data, let's take a closer look at it.

Control Limits. Control limits are designed to set a range of tolerable variation from planned levels or scheduled activities within which significant monitoring efforts or corrective action efforts will not be taken. Control limits help you to concentrate monitoring time and follow-up on those areas which appear to be critical.

There are no hard and fast rules for setting control limits. In fact, they are generally set on a fairly arbitrary basis. Common control limits on the participant side are plus and minus 10 or 15 percent of planned levels. However, there are a number of different approaches to setting these control limits. They include:

- Making control limits wider during initial phase-in periods and then narrowing them as implementation proceeds. For example, you might choose to use 25 percent plus or minus control limits for the first quarter of a project, reduce the control limit to plus or minus 15 percent in the second quarter, and then go to plus or minus 10 percent in the third and fourth quarters.

- Using different control levels for programs of different sizes or for subcontractors to which your PIC wishes to pay particular attention. For example, you might choose to have a very narrow control limit on intake measures, since intake which is either much too high or too low will produce overloads or underenrollments in other program components for several months afterward.

- Employing narrower control limits on larger programs. As you can readily realize, applying the same percentage variances to programs of different sizes can have radically different implications in terms of your PIC's accomplishment of its total plan.

- Stipulating narrower control limits for problem subcontractors.

With respect to EGS activities, control limits can be even more arbitrary. The exact limits that you place on planned activities or deliverables expected or projected should be determined by factors such as:

- whether the activity is a critical precondition for other activities to occur
- the amount of funds involved in the project
- the need for timeliness in project completion
- the public visibility of project results or outcomes
- the role that the activity plays in directly generating or creating job opportunities for CETA-eligible participants.

All of these modifications and adaptations of the control limit idea have their uses. For monitoring purposes, your PIC should set limits to reflect its particular experiences, concerns, interests and objectives. As noted, areas in which these limits are exceeded will be those in which you have to do follow-up or managerial monitoring.

## B. SOME CAUTIONS ON PERFORMANCE VERSUS PLAN ANALYSIS

You should be aware that performance versus plan analysis is not a completely perfect system for monitoring your PIC's program performance. There are two major limitations on this form of monitoring. The first relates to the form itself; the second, to the primary data used in analyzing performance.

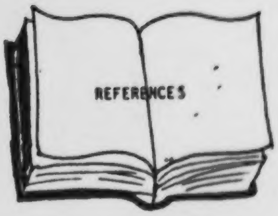
### Planning

The usefulness of performance versus plan analysis depends in large part on the soundness of the originally estimated planned activity levels or project schedule. If these levels are unreasonable--either excessively high/low or long/short--the value of subsequent comparison is either meaningless or severely compromised.

Reporting

A performance versus plan system can be no better than the data on which it relies. If projects are reporting either inaccurate, inconsistent, or invalid data, then your review of that data will tell you very little about actual performance, and will not serve the purpose of helping you to identify where program problems may be occurring.

Your PIC should keep the foregoing constraints in mind in establishing your performance analysis procedures and in reviewing performance against plan. In this regard, you should make provisions for periodically validating data submitted by contractors and operating units and be prepared to modify standards upward or downward to make them more realistic and experience-based.



Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Step 2

## Initiate Corrective Monitoring

The purpose of this step is to determine why program performance varies from planned levels, and to identify possible remedial actions for management consideration. The step includes: determining that a potential problem does exist; contacting responsible staff or project operators; assessing the situation; and making conclusions about whether corrective action is necessary, and, if so, what types or actions might be appropriate.

**Key Concepts**

- Corrective Monitoring - follow-up analysis to determine why performance varied significantly from planned level and to identify possible remedial actions to correct situation.
- Management by Exception - approach to monitoring which states that corrective monitoring should be restricted to exceptional deviations in performance.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Your analysis of performance against plan will enable you to pinpoint areas in which there may be a problem. However, your review of report data will not indicate what the source of that problem is. Therefore, if you discover a significant deviation from plan, you should initiate a more in-depth inquiry. Appropriate techniques include:

- on-site monitoring - when data must be collected from participant or contractor files, or when more qualitative information is desired
- interviews - with participants, employers, or contractor staff to collect data which cannot be obtained from standard sources.

By doing this follow-up in problem areas, you can determine whether corrective action is necessary and secure the essential information for preparing a corrective action plan. The pages which follow present more detailed information on steps your PIC might take to do follow-up or corrective monitoring based upon performance versus plan analysis.

## A. ESTABLISHING A CORRECTIVE MONITORING APPROACH

The purpose of follow-up or corrective monitoring is to determine why program performance varies from the planned levels and to identify possible remedial actions for management consideration. There is no single definite pattern for responding to potential problems when your PIC identifies them. However, the following sequence of steps constitutes a basic approach which your PIC might employ, modifying it as necessary, to do follow-up or corrective monitoring.

1. Monthly performance versus plan data is reviewed.
2. Projects or areas in which control limits are being exceeded are pinpointed.

3. An exception report is filled out on each area in which the variance is judged to be significant.

4. These reports are ranked in priority order and then assigned to staff for follow-up.

5. The assigned staff person(s) contacts the project operator(s) or PIC staff involved to set up meeting(s).

6. The situation is reviewed by the PIC staff person(s) and the project operator(s) or staff to discuss possible causes and solutions.

7. Decision is reached on extent of problem and on need for further follow-up.

8. If necessary, additional records are reviewed and/or persons are contacted.

9. Based upon monitoring visits, a managerial monitoring report is prepared which states whether formal corrective action is necessary or whether the situation can be resolved informally. If corrective action is recommended, the monitoring report recommends possible steps that might be taken to correct problem.

## B. HINTS ON DOING CORRECTIVE MONITORING

As the foregoing steps indicate, the mechanics for doing corrective monitoring are not complex. However, monitoring styles vary considerably. To do the most effective job of corrective monitoring, your PIC should adhere to the following six principles.

### Manage by Exception

Plan versus performance analysis will probably identify a large number of deviations from your PIC's plan. The time-consuming, skill demanding, intensive treatment implied by corrective monitoring cannot, and should not, be given to each and every deviation. Therefore, you should control the inclination to overmonitor. You should restrict corrective monitoring to exceptional deviations in performance. It should be focused on crucial problems and bottlenecks.

Be Systematic

The corrective monitor does not have all the time in the world to distinguish cause from effect. The objective of corrective monitoring is to get performance back to or up to planned levels as quickly as possible. In order to ensure this end, you should have a definite structure and focus--analytical framework--for diagnosing the problem area. You should develop questions which will allow you to probe into those factors or areas which you think might account for the problem. For example, questions to ask if you found a significant variance in a particular project's expenditures might include the following:

- Is the variance caused by underutilization (or overutilization) of the component?
- Is the variance caused by understaffing (or overstaffing)?
- Is more (or less) service being given than planned?
- Have unit costs increased (or decreased)?
- Were the planned levels underestimated (or overestimated)? What was the source of the defective estimate?

Use the Phone First

Elaborate systems are not necessary for taking action based upon what you discover in your plan versus performance analysis. If you find some items of significant variance within an area, a practical approach is to get on the phone and ask the project director to determine if there is some reasonable explanation for the variance. You can use such a call to:

- determine whether on-site monitoring is necessary
- identify items to recheck in the following month
- reduce the scope of an on-site monitoring visit.

Using the phone can save time and strengthen PIC-project operator relationships. The calls can yield explanations which are not apparent from the limited figures tracked month to month and can also serve to put the operator on notice with a minimum of embarrassment.

## Pursue a "No Surprises" Policy with Operators

The words "problem" and "monitoring visit" can traumatize project operators. There are some steps though that your PIC can take both in advance of, during, and after a corrective monitoring visit to minimize the potential negative ramifications of such an intervention.

- Make sure that performance standards are clearly stated in the project operators contract.
- Advise the project liaison in advance of exactly what areas you will want to look at and with whom you will want to talk.
- Establish a definite liaison to coordinate your visit and a firm schedule and set of procedures for your visit.
- If you need to conduct personal interviews:
  - use only one evaluator in an interview; no "ganging up"
  - use an open-ended questionnaire, passed out with an adequate and honest explanation at a staff meeting

Step 2

- if possible, conduct necessary interviews away from the facility at neutral locations and at times and places most convenient to the interviewee.

- Unless it is essential to the solution of a problem, avoid making judgments regarding project personnel. It is normally the responsibility of the project operator to make staff adjustments to correct a problem.

- Share adverse findings through your liaison in advance of disclosing them to the Council.

- Give project operators a chance to develop and commit to potential corrective action steps which can be incorporated as part of your monitoring report.

The Council probably should not be involved with many monitoring activities. However, "no surprises" applies here as well. Where problems are significant, the Council should be informed so that it can be involved in determining next steps.

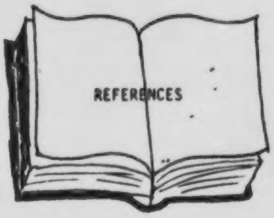
## Avoid Unnecessary Disruptions to Operations

Your PIC's corrective monitoring activities can interfere with operators carrying out their mission. This is especially true for those projects which are participant-serving. Therefore, you should ensure that your schedule "fits" best with the normal routine and operations of the project.

## Remember - The Plan Could Be Wrong

The problem could be with the plan rather than the performance. The plan is not scripture. It's a guide, a goal, and can be changed if circumstances warrant. Therefore, you should always reassess the validity of your planning assumptions and standards as an integral part of every monitoring effort.

As a final point, effective corrective monitoring requires substantial interpersonal skill and programmatic knowledge. Therefore, the managerial monitoring assignment should not be looked upon as a training ground for new PIC staff. With some care in selecting suitable personnel, adequate planning, and a modest amount of effort, corrective monitoring can produce significant payoffs in terms of more responsive and effective programs for your PIC.



Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

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Step 3

## Ensure Necessary Corrective Actions

The purpose of this step is to develop and implement plans for correcting project operations in those areas in which significant deficiencies are found. The step consists of two parts: develop corrective action plans, and monitor implementation of corrective action plans.

Key Concepts

- Corrective Action Plan - report which proposes method for eliminating performance problems.
- Corrective Monitoring System - special procedures and methods to provide feedback on the status of the implementation of a corrective action plan.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge

| | | | | |
|---|---|---|---|---|
| Excellent | Above Avg. | Average | Below Avg. | Poor |

- Capabilities

| | | | | |
|---|---|---|---|---|
| Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|
| | | |

## INTRODUCTION

Corrective action plans are developed to eliminate specific deficiencies in your PIC's program operations which are isolated through your analysis of performance versus plan, and then confirmed through corrective monitoring. The plans are developed in response to and based upon data gathered in the corrective monitoring step. The two major tasks in ensuring necessary corrective actions are to:

- develop corrective action plans
- monitor the implementation of corrective action plans.

## A. DEVELOP CORRECTIVE ACTION PLANS

A corrective action plan should address each area of performance where significant variance occurred and was judged to be a problem through corrective monitoring. These plans should specify the:

- problem and its source
- extent of its deviation from the plan
- criteria required for improvement
- remedial steps to be taken
- time frame for improvement
- assignment of responsibility for action.

You should normally develop corrective action plans following the quarterly review and analysis of your PIC's program performance. While performance data are generally monitored and analyzed on a monthly basis, it is normally more useful to withhold corrective action plans until more time has elapsed. Preparing corrective actions plans on a quarterly basis.

- dilutes the influence of any isolated monthly aberrations
- provides a more comprehensive and representative data base from which to initiate action
- allows you to take a more thoughtful, analytical approach to problem remediation.

Corrective action plans should be negotiated with and approved by PIC management and the appropriate contractor or project staff, and where particularly important, the Council. The chief criterion that you should employ in developing those plans is that they remain consistent with overall PIC program goals, objectives and standards.

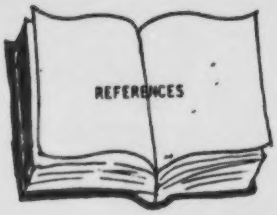
## B. MONITOR CORRECTIVE ACTIONS

Corrective action plans must be carried out effectively and on schedule if they are to redirect and improve program operations. Therefore, you should establish a special reporting and monitoring system to provide you with feedback on the status of the corrective action plan implementation. Such a system involves specifying the

- type of information needed
- schedule for implementation
- responsibilities for action.

The format is set up so that follow-up results can be noted month by month within the quarter, until all three months' activities are noted, providing some indication of progress during the quarter.

In conclusion, your PIC's ability to monitor program and project progress and to redirect efforts as necessary, will contribute significantly to the ultimate success of your PSIP.



Olympus Research, *Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors* (Springfield, VA: U.S. Department of Commerce, 1975).

Manpower Administration (now Employment and Training Administration [ETA], *Program Assessment Guide* (Washington, D.C.: U.S. Department of Labor, April, 1974).

## H. EVALUATE RESULTS

Purpose: To assess the effects and outcomes of the PIC's program.

Steps

1. Collect Data
2. Analyze Data
3. Feedback Into Planning Process

Step 1

## Collect Data

The purpose of this step is to collect all data which is necessary for evaluating your PIC's program. Common data collection techniques include: baseline data retrieval; survey research; individual interviews; group interviews; and follow-up studies. Two major technical issues associated with data collection for more sophisticated evaluations (those of the impact nature) are establishing comparison/ control groups, and sampling.

**Key Concepts**

- Survey Research - reliable method, employing some form of questionnaires, for generating data pertaining to respondent experience, attitudes, and opinions related to an area or impact of PIC performance.
- Follow-up Studies - specialized version of a survey or interview, usually used to determine the impact of a PIC's program on a participant over a given time period after completion (e.g., 6, 9, 12, 18 months).
- Sample - a part of a statistical population whose characteristics or opinions are studied to gain information about the whole.
- Control Group - group which does not participate in PIC program with characteristics similar to persons in program used as mechanism for contrasting impact of program participation.

**Knowledge/Capabilities Rating**

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

The last step in the preceding stage described certain basic tools which your PIC might develop to collect and organize evaluation data. This step suggests procedures for using those tools in the process of data collection. In addition, it discusses technical issues related to conducting a valid and reliable impact evaluation.

## A. ACQUIRING EVALUATION DATA

Your PIC's evaluation research design will dictate its data gathering methodologies. The most common data collection techniques include:

- Baseline Data Retrieval
- Survey Research
- Individual Interviews
- Group Interviews
- Follow-up Studies

### Baseline Data Retrieval

Different techniques have more utility for the different activities that they are to evaluate. For example, baseline data retrieval is particularly useful for training activities. Survey research can be useful for EGS as well as training activities. Individual interviews can be particularly helpful in evaluating EGS activities.

If your PIC has decided to do only an outcome evaluation, it will normally require no more data collection that retrieving what are available from existing sources. However, baseline data are also the foundation for a relative effectiveness or impact evaluation. Thus, regardless of the nature of your evaluation.plans, they will require collecting baseline data.

Step 1

### 1. Standard Sources

As stated in Chapter II, your PIC's internal management reporting system and reports prepared for the Department of Labor can be used to secure baseline data on items such as:

- participant characteristics
- types of services provided
- placement data
- expenditure information
- applicant records
- participant tracking
- product development and activity accomplishment
- observations and monitoring reports.

These baseline data should be collected on an ongoing basis for projects that are to be evaluated. In this way, they:

- can provide leading indicators in advance of the summary evaluation undertaken at the conclusion of the program

- will not become a time-consuming task for the evaluator(s) once the formal evaluation gets underway.

### 2. Back-Up Sources

In addition to the data which can be retrieved through standard reports, project records provide an excellent source of supplemental information that may be of value for your evaluation. This is especially true if you need to be able to make more discrete judgments among projects or components in terms of their relative utility. For example, access to original data sources would allow you to track back, establishing a "paper trail" on unsuccessful project participants, including items such as:

- demographic characteristics
- length of time in project
- reason for termination.

This type of information can be extremely useful to your PIC in assessing "how well" each particular project performed.

## Survey Research

Survey or questionnaire research is a reliable method of generating data pertaining to respondent experiences, attitudes, and opinions regarding your PIC's performance. Surveys can ascertain respondent views or information on any subject with which they can reasonably be expected to be familiar.

Performing survey research is analagous to following a recipe: use of the proper ingredients in the right amounts will yield excellent results. The essential ingredients in the survey research recipe include:

- developing the questionnaire
- selecting the sample
- administering the survey
- analyzing the data
- interpreting the results.

Questionnaire development has been discussed under the preceding step. Sampling is discussed later under this step, and data analysis and interpretation is covered in the next two steps. Therefore, the discussion which follows focuses upon the actual administration of the survey itself.

A survey may be administered in several ways:

- by mail
- by telephone
- in person
- in a group.

The survey may also be either anonymous or identifiable.

Mail surveys require detailed and explicit instructions because if a respondent has any questions, they cannot readily be answered. Because these surveys may be completed anonymously, however, they have the advantage of anonymity over personal or phone surveys. Anonymous surveys encourage respondent candor, clearly an asset when asking probing or personal questions. On the other side of the coin, the response rate among anonymous respondents to a mail survey may be less than desired and thus comprise your PIC's evaluation findings.

The ideal means of ensuring a high rate of response while preserving confidentiality is by administering the survey to respondents in a group. With this method, questionnaires are distributed to all respondents and the instructions are read. The evaluator answers any questions and then the respondents proceed individually. The unidentified questionnaires are collected when everyone has finished.

Ultimately, the method which your PIC chooses for a survey should be determined by three fundamental concerns:

- the availability of resources
- the feasibility of bringing respondents together in a group
- the need for a good rate of response (i.e., questionnaire completion).

Most surveys will not produce a 100% response rate. For example, a survey may have a target sample of 50 respondents. Anticipating that some of these individuals will not, for whatever reason, return a completed questionnaire or be willing to participate in either personal, phone, or group questionnaire completion sessions, you must "oversample" to obtain the 50 needed responses. That is, questionnaires should be administered to more than 50 individuals.

The issue here is one of anticipating the nonresponse rate. This should be done based on a combination of experience and intuition. As a general rule, the estimate of the nonresponse rate should be on the generous side. An even better rule is to know the respondent group well enough to anticipate the nonresponse rate. When 50 responses are needed for reliability, it is better to receive 59 than 42 completed questionnaires. (See discussion, pp. III-353-358 for additional information on sampling.)

## Individual Interviews

Individual interviews are another means of obtaining evaluative data regarding your PIC's performance. These interviews could be especially useful in securing information on the EGS side of your program. Given their open-ended nature, personal interviews provide the opportunity for the respondent to amplify his/her viewpoints and to furnish in-depth insights, perspectives, or explanations which would not be possible or difficult to obtain through the more structured questionnaire completion format.

A few guidelines your PIC should follow to enhance the prospect for a successful personal interview include:

### General

- Interviews should be scheduled at a site where the respondent will feel at ease. If possible, interviews should be done at the respondent's work site.
- No interview should require more than one hour, and the respondent should be apprised of the anticipated interview length in advance.

### Interviewer Techniques

The interviewer should:

- personally contact the interview subject as a means of introduction, to establish rapport, and to schedule a mutually convenient time
- have full recall of the contents of the interview guide, and be as familiar as possible with the subject matter
- practice using the guide in advance of the interview session
- strive to put the respondent at ease at the outset of the session
- record salient points on the interview guide while simultaneously listening to the respondent

- restate his or her understanding of particular responses at frequent intervals for confirmation and to demonstrate to the respondent that his or her answers are being "heard"
- ask follow-up questions when triggered by a respondent's incomplete answer
- encourage the relating of anecdotal information as a means of explanation and clarity
- ask for and answer any questions the respondent may have at the conclusion of the session
- prepare a formal narrative based on his or her notes soon after the interview has been completed.

Group Interviews

A group interview is an inexpensive and effective method which your PIC could employ as an alternative to a series of individual interviews. These interviews typically generate a substantial amount of useful data. The basic requirements for a group interview are that the:

- prospective respondents must be relatively equivalent in terms of their knowledge and experiences in the area or subject matter to be discussed and evaluated
- respondents must be willing to participate openly in a group interview.

With regard to the first requirement, the respondents must be individuals who, for example, participated in the same training program or who were placed in similar jobs. In terms of the evaluation, they must therefore share the same principal characteristics. The second requirement refers to the fact that the participants must understand the nature of the group interview setting and be ready to express their opinions candidly in the presence of others.

A group interview proceeds in the following manner:

- the assembled participants are introduced to the purpose and process of the group interview
- an interview guide is distributed to all participants
- the guides are completed independently by the respondents
- each individual then reports his or her perceptions, as noted on the interview guide, to the entire group
- all responses are recorded on flip-chart paper by the facilitator
- there is then a group discussion to clarify, combine, and supplement the data
- if concurrence is desired, the participants are asked to vote to determine areas of agreement or to establish rankings of particular items.

The product of this process is a large body of data for each item on the interview guide. The opportunity for respondents to review and discuss their own as well as others' answers serves to generate more comprehensive and thoughtful responses than are generally accessible through individual interviews.

## Follow-up Studies

Follow-up studies are a specialized version of a survey or interview. They are a commonly used method for assessing impact on participants. In addition, they can also be employed to ascertain employer satisfaction with your PIC programs. These studies can be highly useful means of evaluating a project's or your PIC's impact after a participant has completed the program, or a project has ended. Such studies can determine whether or not a program has a continuing effect on the participant.

Follow-up studies can be used to determine a number of things including:

- Earnings improvement
- Improved proportion of time in employment
- Increased labor force participation
- Movement to growth occupations and industries
- Movement to more highly skilled jobs
- Movement to more secure occupations and industries
- Improved job finding and job holding competencies
- Improved conformance to work rules and mores
- Decreased antisocial behavior
- Improved self-image
- Differences in outcomes associated with varying participant characteristics (e.g., employment status by sex and race, or wage changes by sex)
- Participants' or employers' views of the quality and impact of the program.

There are four questions which are critical to the design of a follow-up effort:

- What information should be collected?
- How many affected individuals (clients or employers) and comparison group persons should be followed?
- How long should they be followed? At what time intervals?
- How will they be contacted?

### 1. Deciding What Information to Collect

The first step in a follow-up study is to decide what questions you want to answer. These questions determine the focus of your study and identify the information you will need to collect.

The following data are those required for comprehensive follow-up evaluation of clients. Some of this data is compiled at the time of program entry and termination. Other data are secured through post-program questionnaires.

### Evaluation management data

- Respondent identifiers; i.e., name, Social Security number, and so forth
- Respondent locator; i.e., address, telephone number, a contact person, and so forth
- Type or method of contact; i.e., mail, telephone, personal, and so forth

### Demographic attributes and variables

- Standard; i.e., age, sex, and ethnicity
- Household responsibilities; i.e., marital status, head of household, dependents, and so on
- Special group identifiers; i.e., public assistance status, veteran status, handicapped, and so on

### Program and service descriptors

- Major program; i.e., on-the-job training, classroom, basic education, public service education, and so on
- Services received; i.e., component descriptors
- Length of service; i.e., time, service units and so on
- Service provider identifiers

### Work history description

For pre-program and post-program periods, chronological lists and descriptions of periods of:

Employment...employed period descriptions

- Job finding activities...friends, want ads, door pounding, public agency, private agency, and so forth
- Employer identifiers...name, address, telephone number, standard industrial classification (SIC) code, and so forth
- Job descriptors...*Dictionary of Occupational Titles* (DOT) or other, unionized, skill level, and so forth

- Wage and benefit quantifiers...dollar values
- Work intensity...full or part-time hours worked, and so forth
- Perception of supervisor
- Indicators of internal mobility...wage change, job change, promotion, and so on
- Duration of employment
- Reason for termination if applicable

Unemployment...period descriptions

- Job finding activities...friends, want ads, door pounding, public agency, private agency, and so forth
- Sources of income during unemployed period
- Duration of spell of unemployment

Not in labor force...period descriptions

- Activity while not in the labor force...in school, military, pregnant, household responsibilities, discouraged, prison, and so forth
- Intention to participate in labor force

Income descriptors

- Sources of income; i.e., wages and salaries, public assistance, unemployment compensation, and so on
- Amount of income

Attitudinal and behavioral indicators

- Perceptions of job obtained
- Perception of training received
- Recommendations; i.e., services quality, content, and so on
- Indicators of antisocial behavior; i.e., arrest record, drug use, and so on
- Knowledge of manpower services available to participant

Indicators of employers' perception of clients

- Conformance to work
- Productivity
- Social acceptance in the work environment

As the foregoing list of potential information suggests, the most critical part of doing a follow-up study is to determine what information is important. As reiterated throughout this Guide, your PIC should decide this based upon your particular information and decision-making needs. Again, the caution is to restrict your data collection to only that information which is critical for management purposes.

## 2. Determining Whom To Contact

One of the most important questions in follow-up designs is determining the proportion of individuals (i.e., participants or employers) to follow (and the size of the comparison group if there is one). The critical variable is the degree of confidence that your PIC wishes to have in the findings and how group-specific the findings need to be.

One obvious alternative is to follow up on all affected individuals and on a comparison group of the same size. This solution minimizes the confidence problem. However, the obvious drawback is that you seldom have the resources for 100 percent follow-up, and even if the resources were available, the difference between being 80 percent confident and 95 percent confident might not be justified by the cost. Therefore, except for very small programs, sampling will be the only possible approach, and it may be the preferable one, if the sample is of the appropriate size, is randomly chosen, and is able to be contacted. General principles for sampling are discussed later under this step.

### 3. Selecting Follow-up Intervals

After your PIC has decided whom to follow, the next decision is for "how long." The most frequent follow-up intervals in shorter-term manpower evaluations have been thirty, sixty, ninety, 180 and 365 days. One possibility is that your PIC might want to make your intervals correspond to those used in national, state or local longitudinal studies in order to permit easy comparison between the results of your programs and those of others.

You definitely should ensure that your final follow-up point is not too close to program completion. As a rule of thumb, a final follow-up point between 9 to 15 months after program completion seems to be an appropriate distance to assess program effect with some degree of accuracy and confidence.

### 4. Selecting Follow-up Methods

There are also significant choices your PIC has to make among personal and telephone interviews and mail surveys as means for follow-up. Each of these approaches has positive and negative attributes. Phone interviews are low cost, but tend to produce higher response rates from successful former enrollees. Mailings have a similar bias. Response rates generally fall between 30 and 60 percent, depending on the use of incentives for returns and persistence of successive waves of mailings. Face-to-face follow-up generally yields higher response rates but is more costly than letters or phone calls. Most sophisticated follow-up efforts combine the three approaches, saving face-to-face follow-up for individuals who do not respond to mailings.

In conclusion, as this lengthy discussion testifies, follow-up studies require a great deal of time, effort, and resources. However, the return to your PIC on this investment is that the findings from follow-up studies will allow you to tell with much greater precision exactly what differences your projects and programs are making within the local community.

## B. "IMPACT" DATA COLLECTION - ADDRESSING TECHNICAL ISSUES

Regardless of the specific data collection method chosen or the area(s) to be studied, once your PIC decides to do an evaluation of an impact nature, there are a number of technical concerns associated with doing the evaluation "right." Two of these concerns are:

- sample construction
- comparison and control groups.

The following pages provide a brief introduction to these topics. As has been noted earlier, if your PIC intends to go beyond outcome or relative effectiveness evaluation, you should refer to the references listed under Step 2, p. III-370 and secure additional assistance as you feel necessary.

### Sample Construction

Several types of research necessitate the construction of a sample on which the evaluation will concentrate. Samples are used primarily in survey research, but they are also needed for such data collection methods as a review of case files or determining whom to interview.

#### 1. Types of Samples

The four most common types of samples are the:

- random sample
- systematic sample
- stratified sample
- cluster sample

Step 1

Random Sample. A random sample is one in which every member of the population has an equal chance of being included in the sample. Simple random samples rely on the use of random numbers. These may be obtained from random number tables available in a number of statistics books at your local library.

The advantage of a random sample is that no other factors need be considered. For purposes of the research, all members of the population are equivalent. However, there are many instances when a random sampling method is impractical and other sampling methods must be used. These other methods are described below.

Systematic Sample. With systematic sampling, members are purposely selected from all parts of a population in a controlled, structured manner which assures that each member has an equal chance of selection. For example, consider a sample of individual case files. From a population of 5,000 folders, we choose a random sample of 270. The first step is to determine the "skip interval" by dividing the population number by the sample number:

$$5{,}000 \div 270 = 18+$$

The second step is to find a random starting point from among the first 18 folders (using the random number table). From that first number, we would then take every 18th successive folder. This process would produce a sample of 277 (instead of 270). However, as noted earlier, oversampling can only further enhance the reliability and representativeness of the sample.

Stratified Sample. A stratified sample divides the population into distinct subgroups which are then sampled separately. Stratification would be appropriate, for example, when you want to look at various components or projects which are unequal in size or characteristics. Clearly, it would be inappropriate to give an equal chance of being included in a sample to participants from a large classroom training component of 500 as opposed to those from an OJT component of 50. Therefore, these projects/components could be stratified based on component size and any other defining characteristics deemed essential and then the sampling would be done. The use of this technique enhances the reliability and validity of the survey findings.

Cluster Sample. In cluster sampling the population is conceived as being made up of a number of clusters, each of which contains sampling units. For example, consider that the OJT participants employed by medium-size firms are to be sampled and interviewed. The OJT participants are clustered by the firms that employ them. A cluster sample would be obtained by random sampling an adequate number of firms and then interviewing all employees at each one selected. Cluster sampling in this case would be of practical advantage in saving time and effort in traveling and in setting up arrangements for interviews.

Cluster sampling is most effective when (1) the differences within clusters are as large as possible (i.e., each cluster can be thought of as representative of the entire population); and (2) the differences between clusters are as small as feasible.

## 2. Structure and Size of Sample

The structure and size of a sample is basically dependent upon two variables:

- the size of the universe (i.e., the total group from which the sample is to be drawn or selected)
- the characteristics of the universe (i.e., those traits or factors which distinguish the group from any other group).

Step 1

Characteristics of the Universe. The traits that distinguish one particular universe from any other have much to do with its total size. The more discrete the traits, the smaller the universe. For example, if the universe is comprised of "surviving ex-Presidents of the United States," its population would number three. However, if the only trait is that of "Earthling," the universe would number four billion.

In terms of your PIC's program, the universe would, at a minimum, be restricted to individuals who participated in the particular project(s) to be evaluated. If that program had different components (e.g., OJT, classroom training, world of work orientation, placement), you might want to focus on each of these subgroups. In addition, you would want to know the basic demographic characteristics (e.g., sex, educational background, work history) of the participants in each project.

Once you have determined the basic size and characteristics of your potential sample universe, the next step is to make your sample "reliable" and "representative."

Representativeness of the Sample. The primary criterion that a sample must meet is one of representativeness. This means that, as much as possible, your sample must be drawn to match the characteristics of the universe.

For example, if a group of 60 people are enrolled in classroom training, you should identify the age, gender, educational background, and employment history of each participant. If 60% of the trainees are men, 60% of the sample should likewise consist of men. If 70% of the trainees had previous work experience, the sample should reflect that proportion.

Reliability of the Sample. Reliability is the degree of confidence that you can have that your findings from your sample represent accurately what you would find if you surveyed your total universe. The size of a sample that you will have to draw will depend upon how confident you want to be in your findings. In general, the more representative that you can make your sample, the smaller it need be.

The following guidelines will be useful in determining a sample size. These guidelines presume that standards of representativeness are met.

SUGGESTED SAMPLE SIZES

| No. in Universe | No. in Sample | % Sample of Universe |
|---|---|---|
| 1000 | 100 | 10% |
| 500 | 60 | 12% |
| 300 | 50 | 17% |
| 100 | 20 | 20% |
| 50 | 15 | 30% |

It is important to note that the foregoing guidelines are general and not absolute. Prior to structuring a sample for your PIC's project, you should refer to any good statistics text. These texts will provide the essential instructions for sound sample selection.

### 3. Essential Steps in Sample Development

In summary, regardless of the type of sample that your PIC decides to undertake, the process of sample development can be reduced to the following essential steps.

- Determine the general population of interest.
- Determine the subgroups within that general population of interest on which separately identifiable findings are desired.
- Define the characteristics (e.g., age, sex, race) and the variables (e.g., employment status, earnings gain) on which you want to measure.

- Determine the precision-degree of confidence that you want to have that the sample findings will represent the true population value for each characteristic or variable.
- For example, if employed status is desired, is it satisfactory to have a sample finding which is plus or minus 5 percent from the true value? Or is plus or minus 15 percent good enough?
- Apply the appropriate standard statistical formula for estimating the sample size required to yield the findings which will be acceptable to you.
- Compare resultant sample size to available resources.
- If necessary, adjust precision and confidence levels even further to obtain a sample size commensurate with available resources.

## Control and Comparison Groups

The second concern in the area of impact evaluation is the use of control or comparison groups. The control group is a necessary element in classical experimental design and impact evaluation. However, it is not a possible or a necessary element in every evaluation. It is important to emphasize that most program evaluations do not require a control group.

If your PIC feels that it needs to know the absolute difference between results obtained from a program versus no program at all, a control is probably required. In most of your situations, however, the real choice will probably be between one form of service or another, lessening the need for strict control groups. Two options which your PIC might employ as basic alternatives to the control group method are comparison group design and staged design.

## 1. Comparison Groups

The comparison group design contrasts a comparison group (available individuals who have not participated in and/or completed a program or project) with a similar treatment group (individuals who have satisfactorily completed a project). Availability and similarity are the two key elements of this definition. Individuals are not assigned to either group at random. The underlying objective of the comparison group design is to obtain, by self-selection rather than assignment, as much similarity as possible between the characteristics of the comparison group and the treatment group.

Comparison groups which have been used in various manpower evaluations have included:

- Individuals who register for programs, but are subsequently found to be ineligible
- Individuals who are found eligible for a program but who leave the program before assignment to a specific project and without receiving participant services
- Individuals who actively participated in a program, but who terminated prior to completion of that program
- Eligible individuals who receive supportive services only
- Individuals registered with the employment service, but who are not enrolled with CETA.

Availability is the principal characteristic of each of these possible comparison groups. It is obvious, on the surface, that each of those groups will be different in some way from the program enrollees. Yet, it is felt that their similarities may be greater than their differences and thus provide the basis for valid comparison.

One technique which has been used to eliminate as many differences as possible between treatment and comparison groups is matching. Using this technique, the evaluator seeks to match individuals in the treatment group with individuals in the control group on a number of characteristics thought to influence outcomes. Doing this establishes the basis for a more total contrasting between directly comparable groups and thus enhances the potential confidence for the findings which result from that comparison.

## 2. Staged Design

The staged design is a variation of the comparison group approach to evaluation. The design involves using individuals who are registered for a project, but who are on waiting lists as controls on those individuals who are project participants and completers.

The way this would work is as follows. Assume that a pool of two hundred eligible participants has been identified and each indicates a willingness to participate in a PIC project or component. However, suppose that program capacity is limited to fifty participants per cycle. You could develop a staged design by randomly assigning the two hundred eligibles into the four groups. You could then use the persons in the second, third, and fourth cycles as controls for individuals to be served in the first cycle. The third and fourth groups would serve as the controls for the second cycle, and so forth.

The staged design approach avoids the denial-of-service problem, employs equivalent groups, and uses random assignment. It also has some potential disadvantages. For example,

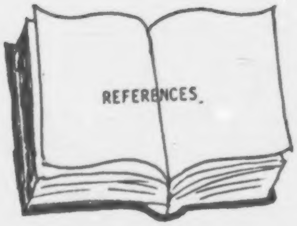
- Since the assignment is random, the "representativeness" of each group will be uncertain
- If the program cycles are short, the post-measurements may not accurately reflect experience or change over time

- The size of later treatment and comparison groups is likely to diminish as individuals find suitable employment or tire of waiting for service, thus the equivalence is compromised
- If comparison group individuals interact with treatment group members in the course of their normal activities in the community, a source of extraneous influence enters.

However, in spite of these limitations, there appear to be many situations in which the staged design would be applicable.

## CONCLUSION

In conclusion, collecting evaluation data which is useful demands that your PIC have a sound plan and research design, good data gathering instruments, and skilled personnel who can implement and employ those instruments according to their design.



Manpower Administration (now Employment and Training Administration [ETA], Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

Step 2

## Analyze Data

The purpose of this step is to aggregate and review your PIC's evaluation data employing those analytical procedures and statistical techniques which have been decided upon for analysis. Common modes of analysis include: cause and effect; comparative; trend; and cost effectiveness.

Standard techniques which your PIC might employ to analyze data include: descriptive statistics and correlation statistics.

Key Concepts

- Cause and Effect Analysis - study of a number of variables to demonstrate a causal relationship between two or more factors.
- Comparative Analysis - study of the relative performance of two or more components, or projects over time.
- Trend Analysis - study of performance over time to see if it is increasing, decreasing, or staying the same.
- Cost Benefit Analysis - study of various measures of program outcome related to cost in order to assess benefits.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

- Knowledge

Excellent — Above Avg. — Average — Below Avg. — Poor

- Capabilities

Excellent — Above Avg. — Average — Below Avg. — Poor

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

# INTRODUCTION

Data analysis, or data treatment as it is sometimes called, is the art of viewing data from a variety of perspectives in order to understand and interpret it. Data analysis involves:

- reviewing the research findings for correlations, trends, commonalities, and disparities
- documenting the relationship between the findings and the evaluation objectives
- developing rationales or speculations for findings whose explanations are not self-evident.

## Types of Analysis

There are four basic types of analysis that may be useful in evaluating your PIC's programs:

Cause and Effect Analysis: weighs all variables to demonstrate a causal relationship between two or more factors.

Comparative Analysis: focuses on relative achievements of two or more groups, units.

Trend Analysis: documents changes in levels of achievement over time.

Cost-Benefit: quantitative index of performance that relates various program results to cost.

These methods have been described earlier in this *Guide* under "Stage F: Develop Evaluation Plan, Step 1 Establish Scope and Nature of Evaluation," pp.III-259-314.

## Analytical Techniques

The analytical techniques your PIC will employ will be dependent upon its mode(s) of analysis. The discussion in this section highlights two of the more common, and simpler, techniques for statistical analysis. These are:

- descriptive statistics
- correlation statistics.

Other analytical techniques frequently used by evaluators include: regression; univariate analysis of variance; analysis of variance; multivariate analysis of variance; and chi square.

Again, as with the other more technical evaluation areas described in this *Guide*, if your PIC decides to apply one or more of the above referenced techniques, you should consult a statistics manual to ensure its proper application.

### 1. Descriptive Statistics

Descriptive statistics can be used to analyze data in terms of:

- central tendency (i.e., mean, median, or mode)
- variability (i.e., a range and standard deviation)
- frequency distribution (i.e., the number of times scores are achieved).

These statistics are especially helpful in looking at overall and relative performance in projects or responses to questionnaires. For example, if your PIC ran a classroom training project which required a test at its conclusion, you could use descriptive statistics to compute and analyze:

- mean, median, and modal scores
- range of scores, from highest to lowest
- standard deviation from the mean
- distribution of scores.

These results would enable you to discriminate individual and group scoring achievement, personally and relative to others. This discrimination would allow you to attribute effects or causation to the project and then to make decisions based upon those effects.

## 2. Correlation Statistics

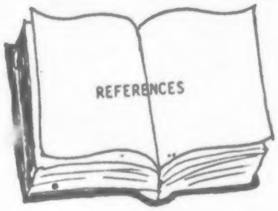
Correlation statistics are used to measure the relationship between two variables: a dependent variable and an independent variable. An independent variable is that variable which is manipulated in an evaluation (e.g., classroom training, OJT, age, sex). The dependent variable is the factor to be observed or measured to determine the results of the variation (e.g., salary level, length of job retention, self-concept and attitude).

The results of correlation analysis are reported within a range of +1 (perfect positive correlation) to -1 (perfect negative correlation). Correlation statistics can be used to measure the relationship between these two variables, but they cannot be used to establish causation. For example, your PIC's evaluation may find a positive correlation between classroom training and salary level, but it cannot prove that one is the consequence of the other. Despite this limitation, correlations are extremely useful in the analysis of your PIC's project because they can be used to quantify the nature and the extent of relationships between independent variables -- project treatment (i.e., services) or group characteristics (i.e., demographic data) -- and dependent variables - results achieved.

## CONCLUSION

In conclusion, regardless of its quantitative aspects, data analysis is much more than a mere review of numbers. It is, rather, a systematic attempt to derive meaning from and make informed judgments about the nature of the program being researched. Regardless of the form of analysis your PIC is employing, you should attempt to answer the following basic questions:

- Were the PIC's or the project's objectives achieved?
- What caused the effects discovered in the evaluation?



Manpower Administration (now Employment and Training Administration [ETA]), Program Assessment Guide (Washington, D.C.: U.S. Department of Labor, April, 1974).

Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

Olympus Research, Self-Evaluation of CETA Manpower Programs: A Guide for Prime Sponsors (Springfield, VA: U.S. Department of Commerce, 1975).

Finks, Arlene, and Kosecoff, Jacqueline, Evaluation Primer (Washington, D.C.: Capitol Publications, 1978).

Step 3

## Feedback Into Planning Process

The purpose of this step is to prepare an evaluation report which documents your PIC's program performance for the year. The report is fed back into the Council's planning process and then used for replanning for the following year.

Key Concepts

- Evaluation Report - document which formally summarizes and presents evaluation findings.
- Program Review Process - assessment of PIC's programmatic performance to reevaluate planning assumptions and program design principles, determine project and service deliverer effectiveness, and pinpoint area for change.

Knowledge/Capabilities Rating

Review the information provided above. Rate your PIC's knowledge and capabilities with reference to this step on the scales below.

| | | | | | |
|---|---|---|---|---|---|
| • Knowledge | Excellent | Above Avg. | Average | Below Avg. | Poor |
| • Capabilities | Excellent | Above Avg. | Average | Below Avg. | Poor |

Based upon your ratings, decide whether you need to read the content information on this step which follows immediately or proceed to the next step.

## PME PROCESS NOTES/ACTION PLANNING PAGE

NOTES (Points that are important which you want to remember)

QUESTIONS (Items on which you are unclear or want to get additional information)

ACTIONS (Specific steps that you intend to take to implement your PIC's PME process in this area)

| Steps | Resources/Persons | Time Frame |
|---|---|---|

## INTRODUCTION

Once your PIC has analyzed its evaluation data, the last tasks in the evaluation process are:

- to prepare an evaluation report which presents the results of that analysis
- to utilize that report to begin the review of program performance and to plan for the upcoming year.

## A. PREPARING THE EVALUATION REPORT

The evaluation report is a document which summarizes your evaluation findings. Your report should answer those evaluation questions which your PIC posed at the outset of its evaluation and explains the procedures used to derive the answers. The evaluation report is the official record of the evaluation, making public your activities and findings. For this reason, it is very important to prepare the report carefully.

The degree of formality and sophistication of your evaluation report is obviously a matter of local preference. However, a basic rule is that your report should neither consist solely of statistical tables or computer printouts, nor of personal impressions or opinions. Your report should communicate in a comprehensive way--without omitting any qualitative or quantitative detail--what has been discovered, what was done, how it was done, and why it was done.

A credible evaluation report clearly and logically describes the evaluation questions as well as the procedures used to get the answers. Whether informal or formal, the report should include the following sections:

Introduction - to the program and the evaluation.

Objectives - of the evaluation.

Methodology - means designed to conduct the evaluation.

Findings - based on the data collection and analysis.

Recommendations/Conclusions - based on the findings.

Executive Summary - briefly explains objectives of evaluation and highlights the key findings.

These sections are explained in a little more detail below. Much of the information for the first three sections of the report can be drawn directly from your PIC's Evaluation Research Design (see pp. III-293 - 302).

### Introduction

The introduction to your report should briefly describe the program or projects being evaluated, the group that conducted the evaluation, and their approach to evaluation. This section of the report should discuss any legislation that created the program and mandated its evaluation. It should also include the process by which statements of program goals, activities, performance standards, and objectives were arrived at for purposes of the evaluation.

### Objectives

This section should state succinctly the specific objectives for the evaluation and list the questions that were to be answered through the evaluation.

### Methodology

This section should present your overall evaluation research design, outline the process for administration of the evaluation, describe data collection instruments and procedures, and your PIC's analytic techniques and data analysis results.

Research Design. If your PIC concentrated upon performance versus plan or relative effectiveness analysis, that strategy should be described here. If you extended into impact evaluation, you should describe that strategy also and elaborate on your sampling procedures and any limitations on them. For each evaluation of an impact nature, you should explain and justify the way participants or employers were grouped, the independent and dependent variables, the sample, and any limitations on internal and external validity. A drawing of the design is also very helpful.

The discussion of the plan used to select participants or employers for the evaluation should include the sampling procedure used (e.g., purposive sampling); the justification for any subdivisions or strata into which the population of potential participants was divided for sampling purposes; the final numbers of individuals in the sample; and any problems encountered in selecting the participants or limitations that are inherent in the sampling plan. Once again, giving a picture of the final sample is useful. Finally, it is important to discuss how well the procedures produced the desired sample, at least insofar as can be ascertained through statistical methods or comparisons with tables of demographic data.

Asministration. This subsection describes the actual steps taken to implement your research design. It provides information about the sequence of events between defining your evaluation's questions and arriving at the answers. Information about the staff's activities may be appropriate in this section of the report. One way to combine information about the evaluation schedule and staff is to draw up a calendar of events describing who did what when in the evaluation process.

Instruments and Data Collection Procedures. This subsection should describe instruments employed in your PIC's evaluation. Each instrument and the people to whom it was administered and data collected by it should be detailed. The entire instrument should be reprinted if possible, and if not, sample items should be given.

This subsection should also contain information about the reliability and validity of the instruments. Were they pilot-tested or validated? If so, with and by whom? What were the results? It is also a good idea to explain how the instrument was administered and scored.

If personal contact was part of your evaluation mode, then all field activities should be summarized here, noting any irregularities in information collection that could affect the evaluation's findings. If interviewers strayed from the set procedures for interviewing, for example, then the report should describe what happened and what the consequences were. Finally, this subsection should report how many people participated in each information collection activity, for how many of them complete data were available, and give reasons for any missing information.

Data Analysis and Treatment. Each data analysis method used by your PIC should be named and described in this subsection. For each separate analytic method, a description should be given of its relationship to the evaluation questions, the source of information for the analysis, the design strategy (including the independent and dependent variables) and any limitations. Also the analysis results and interpretations of the findings that relate them to the evaluation questions should be given for each analytic procedure you employed.

## Findings

The most critical part of your PIC's evaluation report is the answers to the evaluation questions. The report must provide clear and succinct answers or describe the progress being made toward obtaining them. When reporting answers to evaluation questions, it is important to point out the strengths and weaknesses of the project or program. This becomes important in later decision-making and program modification sessions.

## Recommendations/Conclusions

This section presents major conclusions which can be drawn as a result of answering all the evaluation questions which were a focus for this year's inquiry. Recommendations sometimes accompany conclusions or answers to questions. You should determine in advance if recommendations are required, and if they are, how extensive they should be. If the decision is to include recommendations, the report should not assume the Council's responsibility of deciding whether or not to continue a project's funding. Instead, this section should present recommendations on how to improve the project, on the situations in which the project can achieve the best results, and on the individuals who are most likely to benefit from the project. In addition, this section might also present other program options which the Council might consider as alternatives in replanning for the next fiscal year.

In answering the evaluation questions, drawing conclusions, and in making recommendations, it is important to explain the limitations imposed upon your evaluation. For example, if information came from instruments, the reliability or validity of which is uncertain, the reader should be reminded about it when the evaluation question is answered. Your report must pinpoint those limitations on the evaluation findings even if this makes the report appear noncommittal and the results somewhat more difficult to translate into policy or action.

## Executive Summary

This section takes the activities and findings described in the body of your PIC's evaluation report and distills them

Step 3

into a few pages. The purpose of the summary is to give people an overview of the evaluation that is easy to read but detailed enough to be believable and usable. The summary is frequently placed at the beginning of an evaluation report as a special overview. It is a convenient device for informing the public about the program and its evaluation. Because it may be more widely distributed than the complete report, the evaluation summary must be carefully prepared. A good evaluation summary must be understandable and convincing for all readers regardless of their sophistication and personal motivation to read findings regarding the program.

## B. BEGINNING THE PROGRAM REVIEW PROCESS

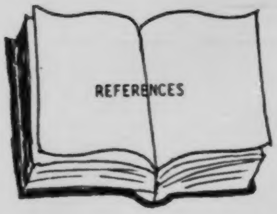
Your PIC's evaluation report is the primary document for program review. It should be fed back into your Council's planning process and then used as a primary tool to:

- reassess planning assumptions and program design principles
- determine project and service deliverer effectiveness
- pinpoint areas for change.

This process is described at length under "Stage B: Define PIC Strategy, Steps 1-6," pp.III-65 - 136. To summarize, your evaluation results can help you:

- to determine whether major or minor changes are required in your PIC's program scope, approach, and project mix
- to provide a perspective from which to assess the appropriateness of your performance standards
- to permit comparisons among components and projects to ascertain which are most effective and cost-efficient
- to decide whether particular projects should be continued, changed, or terminated.

In conclusion, your evaluation findings provide the necessary information which your PIC can employ to develop an improved program operations plan for the next year.



Mayor's Office of Manpower, City of Chicago, Planning and Evaluation under CETA (Washington, D.C.: U.S. Department of Labor, January 1976).

# IV. PME AIDS

This section contains draft sample questionnaires, forms, and worksheets which you can use as prototypes and references to develop your own tools for implementing the PME process. These aids have been created primarily employing, or based upon, examples and information presented in Section III of this Guide.

The aids are organized by stage and step as outlined in that Section. The aids for each stage are introduced by a page which lists them by step and refers you back to those pages in Section III which provide content information related to the step. There is at least one aid for every step in the PME process. Each aid is presented with a one-sentence explanation of its use.

It is anticipated that more specific model aids for implementing the PME process will be developed as a result of the field test with the ten selected pilot PICs. Once these aids are developed, they will be forwarded to you to replace or supplement the material presently housed in this section of the Guide.

## A. ASSESS LOCAL NEEDS

### PME AIDS

| Step | Section III Reference Pages |
|---|---|
| 1. Analyze Local Labor Market Conditions and Business Needs | |
| 1.1 Labor Market Analysis Questions | III-13-21 |
| 1.2 Pre-Initiation Local Employer Survey Questions | III-27 |
| 1.3 Local Employer Survey Questions | III-28 |
| 1.4 Labor Market Analysis Format | III-31-34 |
| 1.5 Labor Market Analysis Projection Format | III-35 |
| 2. Analyze Local Population Groups and Service Needs | |
| 2.1 Master Plan Review Questions | III-45-46 |
| 2.2 Significant Segments (CETA-Eligible Participants) Worksheet | III-47 |
| 2.3 Significant Segments Percentage Analysis Format | III-47 |
| 2.4 Significant Segments Cross Tabulation Format | III-49 |
| 3. Review Programs and Plans of Other Agencies/Service Deliverers/Businesses | |
| 3.1 Plan and Program Review Questions | III-56-59 |

## 1.1 LABOR MARKET ANALYSIS QUESTIONS

USE: To determine basic characteristics and structure of the total labor market.

### QUESTIONS

1. What is the geographical labor market?

2. What is the industrial composition of the area?

3. What are the employment levels among industries?

4. Who are the specific employers in industries?

5. What are/have been the historical employment trends in the area over the past 5 years?

6. What is the current economic condition of area industries?

7. What does other data, such as turnover and job openings, indicate about recent industrial trends?

8. What are industry employment projections?

9. What are the employment potentials of local industries?

10. Who are the local employers in high employment potential industries?

11. What is the occupational composition of selected industries?

12. What are occupational projections within these industries?

13. What is the quality of available jobs?

## 1.2 PRE-INITIATION LOCAL EMPLOYER SURVEY QUESTIONS

USE: To decide whether to conduct a local employer survey.

### QUESTIONS

1. What is your information need?

   - What data are needed?
   - How will it be used in the planning process?
   - Will additional data help you make better decisions?

2. Can you utilize existing resources?

   - Is data available from traditional resources such as State Employment Security Agency (SESA) and State Occupational Information Coordinating Committee (SOICC)?

3. Is the survey useful for your PIC?

   - Is it cost effective?
   - Does it employ correct survey procedures?
   - Will the data it gathers be reliable?
   - Are there alternatives to the survey?

4. Will the investment in the survey be worth the results?

   - Can your total information requirements be reduced?
   - Can alternative data be used?
   - Can any data needs be dropped without adversely impacting the planning process?

## 1.3 LOCAL EMPLOYER SURVEY QUESTIONS

USE: To gather in-depth information regarding the nature of the local labor market, job opportunities, and employer needs.

### QUESTIONS

1. What are the growth potentials by industry and by occupation?

2. What are the salary ranges of occupations?

3. What is the quality of occupations?

4. What are the skill requirements necessary for job success in various occupations?

5. What are the job composition and entry-level occupations of local firms?

6. What are the number and occupational characteristics of existing job vacancies in local labor markets?

7. What are the hiring practices and policies of local firms?

8. What are the hourly, weekly and/or annual salaries of workers in specific occupations?

9. What are the training and promotional policies of local firms?

10. What are employer attitudes toward CETA programs?

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### 1.4 LABOR MARKET ANALYSIS FORMAT

USE: To identify private sector job opportunities within the local economy.

| SAMPLE HEADINGS | Current number of workers available | Current demand for workers | Estimated future demand (give date for projection) | Estimated future supply (give date for projection) | Non-CETA training currently available? If yes, indicate how many workers will be trained |
|---|---|---|---|---|---|
| Private Sector<br>Textile (Synthetic)<br>warehouseman<br>dyer<br>loom operator<br>etc. | | | | | |
| Interstate Trucking<br>machinist-shop<br>refrigeration mechanic<br>diesel mechanic<br>driver<br>etc. | | | | | |
| Canning/Frozen Food Processing<br>laboratory technician<br>picker<br>plant mechanic<br>machine tender<br>etc. | | | | | |
| Banking<br>teller<br>computer programmer<br>data processing clerical<br>account clerk | | | | | |

## 1.5 LABOR MARKET ANALYSIS PROJECTION FORMAT

USE: To project potential future job openings within local businesses and industries.

| Occupational Title | EMPLOYMENT | | | | ANNUAL AVERAGE JOB OPENINGS | | | |
|---|---|---|---|---|---|---|---|---|
| | 1974 Actual | 1985 Projected | Change Numerical | 1974-1985 Percent | Expansion | Replacement | Total | Job Opening Ratio |
| Crafts and kindred workers | 19,133 | 23,173 | 4,040 | 21.1 | 367 | 464 | 831 | 4 3 |
| Construction crafts | 5,115 | 6,473 | 1,358 | 26.6 | 123 | 125 | 248 | 4 8 |
| Carpenters and apprentices | 1,589 | 1,903 | 314 | 19.8 | 29 | 42 | 71 | 4 5 |
| Brick and stonemasons and apprentices | 315 | 370 | 55 | 17.5 | 5 | 6 | 11 | 3 5 |
| Bulldozer operators | 108 | 175 | 67 | 62.0 | 6 | 2 | 8 | 7 4 |
| Cement & concrete finishers | 178 | 238 | 60 | 33.7 | 5 | 3 | 8 | 4 5 |
| Electricians & apprentices | 853 | 1,180 | 327 | 38.3 | 30 | 18 | 48 | 5 6 |
| Excavating, grading, mach. oprs. | 230 | 396 | 166 | 72.2 | 15 | 6 | 21 | 9 1 |
| Floor layers, exc. tile setters | 33 | 35 | 2 | 6.1 | 0 | 1 | 1 | 3 0 |
| Painters and apprentices | 733 | 749 | 16 | 2.2 | 1 | 21 | 22 | 3 0 |
| Paperhangers | 48 | 61 | 13 | 27.1 | 1 | 3 | 4 | 8 3 |
| Plasterers and apprentices | 22 | 25 | 3 | 13.6 | 0 | 1 | 1 | 4 5 |
| Plumbers, pipefitters & appren | 688 | 941 | 253 | 36.8 | 23 | 17 | 40 | 5 8 |
| Roofers and slaters | 89 | 123 | 34 | 38.2 | 3 | 1 | 4 | 4 5 |
| Structural metal craftworkers | 180 | 216 | 36 | 20.0 | 3 | 3 | 6 | 3 3 |
| Tilesetters | 49 | 61 | 12 | 24.5 | 1 | 1 | 2 | 4 1 |
| Production supervisors | 2,770 | 3,530 | 760 | 27.4 | 69 | 64 | 133 | 4 8 |
| Metalworking crafts, exc. mechanics | 1,459 | 1,722 | 263 | 18.0 | 24 | 32 | 56 | 3 8 |
| Blacksmiths | 13 | 9 | -4 | -30.8 | 0 | 1 | 1 | 4 9 |
| Boilermakers | 35 | 48 | 13 | 37.1 | 1 | 1 | 2 | 6 2 |
| Heat treaters, annealers, etc. | 27 | 28 | 1 | 3.7 | 0 | 1 | 1 | 4 0 |
| Forge & hammer operators | 27 | 31 | 4 | 14.8 | 0 | 1 | 1 | 5 1 |
| Job & die setters, metal | 126 | 129 | 3 | 2.4 | 0 | 2 | 2 | 1 6 |
| Machinists & apprentices | 495 | 576 | 81 | 16.4 | 7 | 11 | 18 | 3 7 |
| Millwrights | 80 | 113 | 33 | 41.3 | 3 | 2 | 5 | 6 3 |
| Molders, metal & apprentices | 46 | 45 | -1 | -2.2 | 0 | 1 | 1 | 2 2 |
| Pattern & model makers | 29 | 23 | -6 | -20.7 | 1 | 1 | 0 | 0 0 |
| Rollers & finishers, metal | 17 | 21 | 4 | 23.5 | 0 | 0 | 0 | 0 0 |
| Sheet metal workers & appren. | 328 | 395 | 67 | 20.4 | 6 | 6 | 12 | 3 7 |
| Tool, die makers & apprentices | 236 | 304 | 68 | 28.8 | 6 | 5 | 11 | 4 7 |

Iowa Department of Job Service, Research and Statistics; "Occupational Outlook to 1985. Des Moines, Iowa , October 1977

## 2.1 MASTER PLAN REVIEW QUESTIONS

USE: To analyze Prime Sponsor's plan to identify characteristics and dimensions of need of members of local target groups.

### QUESTIONS

1. Is the data timely?

   - Do the sources of data and their time periods reflect current conditions in your area?

2. Is the data comprehensive?

   - Was more than one standard source used to analyze and define population groups and their needs?
   - Was locally-generated data used to supplement existing data?

3. Does the Master Plan reflect analytical insights?

   - Are percentage relationships used?
   - Are cross-tabulations of data used?
   - Are other statistical measures used to gain analytical insights?

4. Has the Master Plan assessed the needs of "special" population groups such as:

--disabled and Vietnam-era veterans

--public assistance recipients

--older workers (55 years of age or older)

--ex-offenders

--displaced homemakers

--handicapped persons

--single parents

--individuals who lack credentials (such as persons lacking licenses, required experience, etc.)

--individuals who require basic and remedial skills development

--alcoholics

--migrant workers.

5. Does the Master Plan explain the cause of participant group needs such as:

    --education level
    --transportation
    --language
    --child care
    --world of work/employability orientation
    --skill development.

## 2.2 CETA-ELIGIBLE PARTICIPANTS WORKSHEET

USE: To record numbers of CETA-eligible participants by segments (i.e., age, race, sex, ethnicity of local population).

| | | General Population | Estimated number of persons potentially eligible for CETA programs |
|---|---|---|---|
| Total, For PS Area: | | | |
| DEMOGRAPHIC GROUPS | | | |
| Sex | Male | | |
| | Female | | |
| Age | 19 & Under | | |
| | 20 - 21 | | |
| | 22 - 44 | | |
| | 45 - 54 | | |
| | 55 and over | | |
| Race/ Ethnic Group | White (not Hispanic) | | |
| | Black (not Hispanic) | | |
| | Hispanic | | |
| | American Indian or Alaskan Native | | |
| | Asian or Pacific Islander | | |

## 2.3 PERCENT OF CETA-ELIGIBLE PARTICIPANTS BY SIGNIFICANT SEGMENTS ANALYSIS FORMAT

USE: TO REVIEW RELATIVE PROPORTIONS OF SIGNIFICANT SEGMENTS OF LOCAL POPULATION WHO ARE CETA-ELIGIBLE.

| | | General Population | Estimated number of persons potentially eligible for CETA programs | Percent of CETA-eligible partici-pants |
|---|---|---|---|---|
| Total, For PS Area: | | | | |
| DEMOGRAPHIC GROUPS | | | | |
| Sex | Male | | | |
| | Female | | | |
| Age | 19 & Under | | | |
| | 20 - 21 | | | |
| | 22 - 44 | | | |
| | 45 - 54 | | | |
| | 55 and over | | | |
| Race/ Ethnic Group | White (not Hispanic | | | |
| | Black (not Hispanic | | | |
| | Hispanic | | | |
| | American Indian or Alaskan Native | | | |
| | Asian or Pacific Islander | | | |

## 2.4 PERCENTAGE OF CETA-ELIGIBLE PARTICIPANTS BY SIGNIFICANT SEGMENTS AND CATEGORY FORMAT

USE: To conduct focused analysis of population groups employing two or more factors (e.g., age and sex) in conjunction.

Male - 19 & Under

| | General Population - Total | Number Eligible for CETA | % CETA-Eligible |
|---|---|---|---|
| White (not Hispanic) | | | |
| Black (not Hispanic) | | | |
| Hispanic | | | |
| American Indian or Alaskan Native | | | |
| Asian or Pacific Islander | | | |

## 3.1 PLAN AND PROGRAM REVIEW QUESTIONS

USE: To analyze plans and programs of others to identify points for collaboration, service gaps, and/or models to replicate.

### QUESTIONS

Review the plans of:

- the CETA Prime Sponsor
- Employment Service
- educational/vocational courses run by local high schools, community colleges, or proprietary institutions
- economic development and other employment and training initiatives sponsored through the federal government or by the local government
- employment and training efforts undertaken by private sector firms.

To determine:

- Are there gaps in the local service delivery system?
- Are there possible areas for collaboration with service deliverers?
- Are there areas in which your PIC may choose to initiate new services or projects?
- Can you "piggy back" by using PIC funds to support successful programs?
- Are there existing program designs that you can modify and use in your PIC?

## B. DEFINE PIC STRATEGY

### PME AIDS

| Step | | | Section III Reference Pages |
|---|---|---|---|
| 1. | Assess PIC Program Performance | | |
| | 1.1 | Program-Level Assessment Formats<br>--Service to target groups<br>--Enrollment and expenditures<br>--Terminations<br>--Costs<br>--Other services and activities<br>--EGS activities | III-62 |
| | 1.2 | Component-Level Assessment Formats<br>--Costs<br>--Enrollment and expenditures<br>--Terminations | III-78 |
| | 1.3 | Project or Service Deliverer-Level Assessment Format | III-81 |
| | 1.4 | Program Assessment Questions | III-83 |
| 2. | Assess PIC Organizational and Operational Performance | | |
| | 2.1 | Assessment Questions | III-87-88 |
| | 2.2 | Developmental Need Questions | III-88-89 |
| 3. | Establish Initial Need Priorities | | |
| | 3.1 | EGS Needs Questions | III-93-96 |
| | 3.2 | Target Group Selection Questions | III-96-99 |
| | 3.3 | Training Program Occupations Selection Questions | III-99-101 |
| | 3.4 | Target Group Service Needs Format | III-101-103 |
| | 3.5 | Target Group Assistance Needs Matrix | III-101-103 |
| 4. | Redefine PIC Mission and Function | | |
| | 4.1 | Mission and Function Analysis Form | III-107-115 |
| 5. | Refine Basic Organizational and Operational Framework | | |
| | 5.1 | Structural Analysis Checklist | III-119-127 |
| 6. | Formulate Goals and Strategic Plan | | |
| | 6.1 | Goal Setting Form | III-131-136 |

## 1.1 PROGRAM-LEVEL ASSESSMENT FORMATS

USE: To review program-level performance in order to ascertain overall PIC programmatic success and to make fundamental decisions regarding program direction.

PERFORMANCE VS. PLAN: SERVICE TO TARGET GROUPS

| | | % of Total Participants | | % VARIANCE |
|---|---|---|---|---|
| | GROUP | ACTUAL | PLAN | |
| SEX | Male | ____ | ____ | ____ |
| | Female | ____ | ____ | ____ |
| RACE | White/Non-Hispanic | ____ | ____ | ____ |
| | Black/Non-Hispanic | ____ | ____ | ____ |
| | Amer. Indian or Alaskan Native | ____ | ____ | ____ |
| | Asian or Pacific Islander | ____ | ____ | ____ |
| AGE | 19 and under | ____ | ____ | ____ |
| | 20-21 | ____ | ____ | ____ |
| | 22-44 | ____ | ____ | ____ |
| | 45-54 | ____ | ____ | ____ |
| | 55-older | ____ | ____ | ____ |
| SPECIAL CATEGORIES (as defined by PIC) | Handicapped | ____ | ____ | ____ |
| | Vietnam Era Veterans | ____ | ____ | ____ |
| | ADC Recipients | ____ | ____ | ____ |
| | Ex-Offenders | ____ | ____ | ____ |
| | Others (list) | | | |

| PERFORMANCE VS. PLAN: ENROLLMENT AND EXPENDITURES | | | |
|---|---|---|---|
| | RESULTS | | |
| INDICATOR | ACTUAL | PLAN | % VARIANCE |
| . Total Cumulative Enrollment | ____ | ____ | ____ |
| . Total Current Enrollment | ____ | ____ | ____ |
| . Total Accrued Expenditures | ____ | ____ | ____ |

| PERFORMANCE VS. PLAN: TERMINATIONS | | | | |
|---|---|---|---|---|
| | | RESULTS | | |
| INDICATOR | FORMULA | ACTUAL | PLAN | % VARIANCE |
| . Positive Termination Rate | $\frac{\text{Tot. Pos. Terms.}}{\text{Total Terms.}} \times 100$ | ____ | ____ | ____ |
| . Entered Employment Rate | $\frac{\text{Tot. Ent. Emp.}}{\text{Tot. Terms. Less Transfers}} \times 100$ | ____ | ____ | ____ |
| . Indirect Placement Rate | $\frac{\text{Tot.Indir.Place.}}{\text{Tot. Terms. Less Transfers}} \times 100$ | ____ | ____ | ____ |
| . Private Sector Placement | $\frac{\text{Priv.Sec.Place.}}{\text{Tot. Entered Employment}} \times 100$ | ____ | ____ | ____ |

| PERFORMANCE VS. PLAN: COSTS | | | | |
|---|---|---|---|---|
| | | RESULTS | | |
| INDICATOR | FORMULA | ACTUAL | PLAN | % VARIANCE |
| . Cost Per Positive Termination | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Pos. Terms.}}$ | ____ | ____ | ____ |
| . Cost Per Entered Employment | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Entered Emp.}}$ | ____ | ____ | ____ |
| . Cost Per Indirect Placement | $\frac{\text{Tot. Accrued Exp.}}{\text{Tot. Indir. Place.}}$ | ____ | ____ | ____ |

## PERFORMANCE VS. PLAN: OTHER SERVICES AND ACTIVITIES

| | RESULTS | | |
|---|---|---|---|
| | ACCRUED EXPEND. | $$ BUDGETED | |
| SERVICES AND ACTIVITIES | ACTUAL | PLAN | % VARIANCE |
| Administrative Cost Pool | ____ | ____ | ____ |
| Intake and Assessment | ____ | ____ | ____ |
| Employment Generating Servs. | ____ | ____ | ____ |
| Other | ____ | ____ | ____ |

## PERFORMANCE VS. PLAN: SUMMARY REVIEW FORM

| OBJECTIVES/ COMPONENTS | ACTIVITIES | END RESULTS, OUTCOMES, PRODS.EXP. | ACHIEVED | | ASSESSMENT | | | | PERF. LEVEL | EXPLANATION |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | YES | NO | QUANT. | QUAL. | TIME | COST | | |
| | | | | | | | | | | |

## 1.2 COMPONENT-LEVEL ASSESSMENT FORMATS

USE: To analyze and compare the performance of the various components constituting the PIC's program.

### PERFORMANCE VS. PLAN: COSTS

| COMPONENTS | COST PER POSITIVE TERM* | | | COST PER ENTERED EMP.* | | | COST PER PARTICIPANT* | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

*Select indicators, based upon the nature of your program, which are applicable to components.

## PERFORMANCE VS. PLAN: ENROLLMENT AND EXPENDITURES

| COMPONENTS | CUMULATIVE ENROLLMENT | | | CURRENT ENROLLMENT | | | ACCRUED EXPENDITURES | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

## PERFORMANCE VS. PLAN: TERMINATIONS

| COMPONENTS | POSITIVE TERM RATE* | | | ENTERED EMP. RATE* | | | INDIRECT PLACEMENT RATE* | | |
|---|---|---|---|---|---|---|---|---|---|
| | Actual | Planned | % Var. | Actual | Planned | % Var. | Actual | Planned | % Var. |
| Classroom Trng. - Occ. | | | | | | | | | |
| Classroom Trng. - Other | | | | | | | | | |
| OJT | | | | | | | | | |
| Upgrading | | | | | | | | | |
| Retraining | | | | | | | | | |
| EGS | | | | | | | | | |
| Other | | | | | | | | | |
| Other | | | | | | | | | |

*Select indicators, based upon nature of your program, which are applicable to components.

## 1.3 PROJECT OR SERVICE DELIVERER-LEVEL ASSESSMENT FORMAT

USE: To analyze and compare the performance of the individual projects and service deliverers (i.e., agencies and businesses) funded through the PIC.

COMPONENT: Classroom Training[1]

| SERVICES DELIVERERS | ENROLLED | | | TRNG. EXPENDITURES | | | POS. TERMINATIONS | | | ENTERED EMP. | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. |
| Project A | | | | | | | | | | | | |
| Project B | | | | | | | | | | | | |
| Project C | | | | | | | | | | | | |
| - Deliverer 1 | | | | | | | | | | | | |
| - Deliverer 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

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[1] Another indicator frequently used in this area is pre-CETA earnings vs. post-CETA earnings.

## 1.4 PROGRAM ASSESSMENT QUESTIONS

USE: To facilitate PIC programmatic review and replanning.

### QUESTIONS

1. Were your initial planning assumptions valid?

2. Were your initial goals and objectives realistic?

3. Was your overall programmatic thrust, or mix of services and projects sound?

4. Are there any components of your program which should be dropped? Given increased support?

5. Are there any service deliverers who are ineffective? Highly effective?

## 2.1 ASSESSMENT QUESTIONS

USE: To analyze PIC organizational and operational performance.

### QUESTIONS

PIC ORGANIZATION

1. Are PIC goals clear, understood, and shared by members?

2. Are the PIC members clear on the role they want the Council to play with reference to the Private Sector Initiative Program?

3. Are the divisions of responsibilities among and between PIC staff and members clear?

4. Does the PIC have a complete statement of mission and function?

5. Is the Council structured most effectively and efficiently to facilitate both decisionmaking and program oversight?

## PIC OPERATIONS

6. Is the PIC well-staffed? Are the PIC and the staff assigned to or hired by it working productively together?

7. Is there an active core of the PIC membership large enough to sustain continuous decisionmaking and program support activity? Can vacancies be filled in a timely fashion and are they filled using criteria that help sustain and build this core of active members?

8. Are PIC relations with the Prime Sponsor good enough to allow the PIC to have any leverage on the whole CETA system?

9. Is the PIC visible and positively received in the local business community?

## PIC PROCEDURES AND METHODS

10. Does the PIC have administrative procedures and operating guidelines in place? Are they useful and current?

11. Is the planning process for Title VII orderly and does it allow enough time to make reasoned decisions?

12. Is the planning process structured to include individuals and institutions whose support for the final product is important?

13. Does the PIC have a systematic method for monitoring program performance and taking corrective action as necessary?

14. Does the PIC have a systematic plan for evaluating the effectiveness of each activity and its total program?

15. Is the evaluation data which is collected sufficient in quantity and quality for PIC decisionmaking?

## 2.2 DEVELOPMENTAL NEED QUESTIONS

USE: To identify priority areas in which PIC needs to develop its organizational and operational capabilities.

### QUESTIONS

1. Is there a need to reorganize or to restructure the Council?

2. Is there a need to clarify staff and/or member roles and responsibilities?

3. Is there a need to improve staff or Council performance either in terms of work output, relations with one another, or external relations?

4. Is there a need to develop new or more detailed administrative procedures and operating guidelines?

5. Is there a need to upgrade the PIC planning, management and evaluation process?

## 3.1 EGS NEEDS QUESTIONS

USE: To identify priority EGS service needs within the community.

### QUESTIONS

1. Is there a lack of awareness of PSIP?

2. Is there a negative impression toward governmental employment and training programs?

3. Do good job opportunities exist within the local environment which go unfilled because of lack of contact between governmentally-sponsored programs and local business establishments?

4. Is there a need to help create jobs or to develop the economic climate of the community?

5. Is there effective cooperation and communication among those agencies which constitute your local employment and training network?

6. Have governmentally-sponsored programs been designed to be directly responsive to the needs of local businesses?

7. What do local employers feel inhibits their employment of the structurally unemployed?

8. What services can be provided to enhance the local business community's receptivity toward your programs?

## 3.2 TARGET GROUP SELECTION QUESTIONS

USE: To identify target groups to be served through the PIC's program.

### QUESTIONS

1. What is the relative overall severity of need of each participant group?

2. What is the "employability" of each participant group based upon education and length of employment?

3. What percentage of the participant groups is being served by other employment and training programs?

4. Do subgroups have particular and special needs? (e.g., displaced homemakers; ex-offenders; alcoholics; Vietnam Vets.)

## 3.3 TRAINING PROGRAM OCCUPATIONS SELECTION QUESTIONS

USE: To identify occupations for which to develop or sponsor training programs.

### QUESTIONS

1. What are the total number of projected openings for the year?
2. What is the percentage of "entry-level" openings?
3. What is the projected growth rate for 5-year period?
4. What are the hourly starting salaries?
5. What are the promotional potentials?
6. What is the nature of working environment and conditions?
7. What are the skills or training requirements?

## 3.4 TARGET GROUP SERVICE NEEDS FORMAT

USE: To identify basic assistance and service needs of target group members.

| Target Group | Major Barriers | Service Needs |
|---|---|---|
| | | |

## 3.5 TARGET GROUPS ASSISTANCE NEEDS MATRIX

USE: To analyze and plan projects for meeting target group member needs.

| PARTICIPANT TARGET GROUP | Outreach/Recruitment | Intake | Orientation | Assessment | Counseling | Coaching | Basic Education | Remedial Education | Vocational Education | On-the-Job Training | Upgrading Employment | Retraining | Transportation | Health | Family Services | Legal Aid | Financial Aid | Relocation | Job Solicitation | Job Creation | Economic Development | Placement | Follow Through | Other | Other | JOB TARGET GROUP |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| A | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D | | | | | | | | | | | | | | | | | | | | | | | | | | |
| E | | | | | | | | | | | | | | | | | | | | | | | | | | |
| F | | | | | | | | | | | | | | | | | | | | | | | | | | |
| G | | | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL | | | | | | | | | | | | | | | | | | | | | | | | | | |

## 4.1 MISSION AND FUNCTION ANALYSIS FORM

USE: To review PIC's purpose(s), role(s) and responsibilities.

| PIC ROLE OPTIONS DEFINED | ROLE FUNCTIONS | SELECTED ROLES/ FUNCTIONS (✓) |
|---|---|---|
| Advisor - reviewer and consultant to local CETA Prime Sponsor in program planning, implementation, and review process. | • Identify factors which contribute to program effectiveness | ____ |
| | • Examine the performance of CETA and the Employment Service | ____ |
| | • Review and comment on plans of economic development agencies. | ____ |
| Broker - facilitator and provider of technical assistance for connections between Prime Sponsor and employment community. | Between individual employers and publicly-funded programs: | |
| | • Disseminate program information to employers. | ____ |
| | • Disseminate information on the Targeted Jobs Tax Credit. | ____ |
| | • Develop and market model contracts. | ____ |
| | • Provide assistance to employers to reduce the administrative burden of programs. | ____ |
| | • Encourage employers to develop, and to coordinate with training agencies, job skill requirement forecasts. | ____ |

| PIC ROLE OPTIONS DEFINED | ROLE FUNCTIONS | SELECTED ROLES/ FUNCTIONS (✔) |
|---|---|---|
| | Between employers (as a group) and other groups or institutions in the community: | |
| | • Coordinate Title VII programs with other employment and training activities. | ______ |
| | • Develop linkages between school and work. | ______ |
| | • Develop linkages between employment and training and economic development programs. | ______ |
| Operator - designer and deliverer of direct services either to participants, employers, or other agencies. | Programs for workers: | |
| | • Provide world of work training. | ______ |
| | • Provide vocational skills training. | ______ |
| | • Provide entrepreneurship training. | ______ |
| | Programs for employers: | |
| | • Provide services linked to CETA training and placement. | ______ |
| | • Provide economic development-related services. | ______ |

| PIC ROLE OPTIONS DEFINED | ROLE FUNCTIONS | SELECTED ROLES/ FUNCTIONS (✓) |
|---|---|---|
| | Programs for education/employment and training staff: | |
| | • Promote exposure to private industry. | ______ |
| | • Provide assistance in accomplishing specific tasks. | ______ |

## 5.1 STRUCTURAL ANALYSIS CHECKLIST

USE: To assess PIC's basic organizational and operational structure.

| | Doing Okay 1 | 2 | Needs some Improvement 3 | 4 | Needs much Improvement 5 |
|---|---|---|---|---|---|
| Relationships with other CETA programs are positive. | | | | | |
| Physical space is adequate for meetings. | | | | | |
| Chairpersons are sufficient to manage PIC efforts. | | | | | |
| Council member workloads are realistic. | | | | | |
| Council composition is representative of area industry. | | | | | |
| The Council Membership selection process is appropriate to PIC needs. | | | | | |
| At least 51 percent of the PIC's membership comes from business. | | | | | |
| The committee and subcommittee structure effectively supports the PIC's activities. | | | | | |
| Committee and subcommittee membership is easily and fairly determined. | | | | | |
| EXAMINING PIC STAFF | | | | | |
| Staffing is adequate to perform PIC functions. | | | | | |
| Division of labor among staff persons is equitable. | | | | | |

| | Doing Okay 1 | 2 | Needs some Improvement 3 | 4 | Needs much Improvement 5 |
|---|---|---|---|---|---|
| Adequate processes for supervising and directing staff are in place. | | | | | |
| Adequate mechanisms exist for hiring and replacing staff. | | | | | |
| PIC staff are trained to do their jobs as needed. | | | | | |
| EXAMINING OPERATIONAL PROCEDURE | | | | | |
| By-laws provide adequate documentation of the PIC's operational procedures and methods. | | | | | |
| Council meetings are scheduled appropriately. | | | | | |
| Council meetings are run in a way that ensures maximum participation and productivity. | | | | | |
| The PIC's approach to selecting officers is open, fair and representative. | | | | | |
| Staff are clear on their roles and responsibilities. | | | | | |
| Council members are clear on their roles and responsibilities. | | | | | |
| There is an up-to-date PIC organization chart. | | | | | |
| All staff members have current job descriptions. | | | | | |

| | Doing Okay 1 | 2 | Needs some Improvement 3 | 4 | Needs much Improvement 5 |
|---|---|---|---|---|---|
| Committees' roles and responsibilities are clearly documented. | | | | | |
| Committee assignments are listed and disseminated. | | | | | |
| PIC staff and membership are clear on the PIC's relationship to the Prime Sponsor, business, community groups, etc. | | | | | |
| The PIC has put an adequate system in place for planning, managing and evaluating its efforts. | | | | | |
| EXAMINING ORGANIZATIONAL STATUS | | | | | |
| The PIC's status is consistent with overall CETA programming. | | | | | |
| The PIC is able to represent and foster private sector involvement. | | | | | |
| The business community has a positive regard for the PIC. | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

## 6.1 GOAL SETTING FORM

USE: To develop strategic goals for the PIC.

| AREA | NEEDS/BARRIERS | RELATED GOALS |
|---|---|---|
| EMPLOYMENT GENERATING SERVICES | | |
| PARTICIPANT SERVICES -<br>TRAINING AND DEVELOPMENT | | |
| PIC ORGANIZATION | | |

## C. ESTABLISH PROGRAM SCOPE

### PME AIDS

| Step | Section III Reference Pages |
|---|---|
| 1. Define Appropriate Tactics | |
| 1.1 Tactic Selection Form | III-143-147 |
| 2. Draft PIC Program Objectives | |
| 2.1 Participant Training and Development Objectives Form | III-151-153 |
| 2.2 EGS Services Objectives Form | III-153-154 |
| 3. Specify Projects and Scope | |
| 3.1 Participant Project Scope Planning Worksheet | III-161-165 |
| 3.2 Cost Estimation Worksheets<br>--Allowances<br>--Wages and fringes | III-167-171 |

## 1.1 TACTIC SELECTION FORM

USE: To determine and record what tactic(s) to employ to accomplish strategic goals.

| GOAL | BARRIER | TACTIC |
|---|---|---|
| | | |

| PARTICIPANT-RELATED TACTICS: | EMPLOYMENT GENERATING TACTICS: |
|---|---|
| . Classroom Training-Vocational<br>. Classroom Training-Employability<br>. OJT<br>. Upgrading<br>. Retraining<br>. Employment and Training Services<br>. Supportive Services<br>. Customized Training<br>. Pre-Employment & Job Search Training | . Labor Market Analysis<br>. Marketing<br>. Economic and Community Development<br>. Incentive Programs<br>. Linkage Creation |

## 2.1 PARTICIPANT TRAINING AND DEVELOPMENT OBJECTIVES FORM

USE: To set objectives for participant-related projects.

### DEVELOPING PIC PARTICIPANT OBJECTIVES

PARTICIPANT GOAL: ______________________________

______________________________________________

______________________________________________

WHO: _________________________________________

HOW MANY: ____________________________________

WHAT MEANS: __________________________________

PRIMARY RESULT: ______________________________

HOW WELL: (e.g., average cost/participant average wage)

______________________________________________

______________________________________________

______________________________________________

______________________________________________

______________________________________________

545

## 2.2 EGS SERVICES OBJECTIVES FORM

USE: To set objectives for EGS projects.

### DEVELOPING PIC EGS OBJECTIVES

EGS GOAL: ______________________________

______________________________

______________________________

TIME: ______________________________

QUANTITY: ______________________________

QUALITY: ______________________________

COST: ______________________________

540

## 3.1 PARTICIPANT PROJECT SCOPE PLANNING WORKSHEET

**USE**: To plan scope of participant serving projects.

| PROJECT SCOPE PLANNING WORKSHEET | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| TARGET GROUP | | DESCRIPTION OF MAJOR BARRIER(S) | PROJECT OBJECTIVE | PRIMARY PROJECT | OTHER SERVICES NEEDED TO ACHIEVE OBJECTIVES (enter names) | | | ESTIMATED COST |
| Description | No. | | | | | | | |
| | | | | | | | | |

## 3.2 COST ESTIMATION WORKSHEETS

USE: To project allowances and wages and fringe costs for participant serving projects.

Format for Calculating Allowances

Project/Component ____________________

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Basic Training Allowances | No. Participants Qualifying ________ | X | Average Basic Allowance Per Week $________ | X | No. of Weeks ____ | | | = $______ |
| Allowances for Dependents | No. Participants Qualifying ________ | X | Number Weeks of Training ________ | X | Amt.per Depend. $______ | X | Avg. No. of Depend. ______ | = $______ |
| Meals, Transportation,etc. | No. Participants Qualifying ________ | X | No. Weeks Particip. in Trng. ________ | X | Avg.Allow. for this Purpose per Week $______ | | | = $______ |
| | | | | | TOTAL ALLOWANCES | | | = $______ |

## Format for Calculating Wages and Fringes

Project/Component ______________________________

| (1) Occupation | (2) Number of Positions | (3) (3) Avg. Hours of Employment or Training | (4) Average Hourly Wage | (5) Total Wages for Occupation Cols. 2 x 3 x 4 | (6) Fringe Benefits |
|---|---|---|---|---|---|
| | | | | | |
| | | | | Total Wages $ | Total Fringes $ |

## D. DEVELOP PROGRAM OPERATIONS PLAN

### PME AIDS

| Step | Section III Reference Pages |
|---|---|
| 1. Structure Program Delivery System | |
| 1.1 Project Design Formats<br>--Project Planning<br>--Activity/Service Planning Format<br>--Management Plan Format | III-177-179 |
| 1.2 Project Delivery Questions | III-179-182 |
| 1.3 EGS Questions and Control Format | III-182-184 |
| 2. Establish Performance Standards | |
| 2.1 Standards Setting Form | III-187-193 |
| 3. Secure Necessary Assistance | |
| 3.1 RFP Contents Checklist | III-198-201 |
| 3.2 Proposal Review Criteria | III-202-204 |
| 3.3 Current Contractor Review Guidelines and Form | III-204-205 |
| 4. Finalize and Approve Operations Plan | |
| 4.1 Program Operations Plan Outline | III-211-212 |
| 4.2 Final Cost Plan Checklist | III-212-213 |
| 4.3 Sample Work Statement Format | III-211-214 |

## 1.1 PROJECT DESIGN FORMATS

USE: To plan and develop designs for projects to be sponsored by through the PIC.

### 1. Project Planning Format

| | |
|---|---|
| Project: | |
| MAJOR ACTIVITIES/SERVICES | PERFORMANCE STANDARDS |
| | |

### 2. Activity/Service Planning Format

| | | | |
|---|---|---|---|
| PROJECT: | | | |
| MAJOR ACTIVITY/SERVICE: | | PERFORMANCE STANDARDS: | |
| 1. ACTION STEPS | 2. RESOURCES/ASSIS. REQUIRED | 3. TIME FRAME | 4. PERSONDAYS ALLOCATED |
| | | | |

### 3. Management Plan Format

| ACTIVITY/TASKS | STAFF RESPONSIBLE | % OF TIME TO ACTIVITY |
|---|---|---|
| | | |

## 1.2 PROJECT DELIVERY QUESTIONS

USE: To determine basic project delivery arrangement and coordination mechanism for all PIC projects.

### QUESTIONS

A. Participant Services:

1. How will your PIC handle
   - --outreach?
   - --recruitment?
   - --intake?
   - --assessment?

2. What, if any, provisions will be made for
   - --Participant special development needs?
   - --Participant support service needs?

3. Will your PIC undertake
   - --placement?
   - --job development?
   - --program termination activities?

4. Will your PIC give follow-up assistance to program services?

## 1.3 EGS QUESTIONS AND CONTROL FORMAT

USE: To establish methods for overseeing and controlling EGS projects.

### QUESTIONS

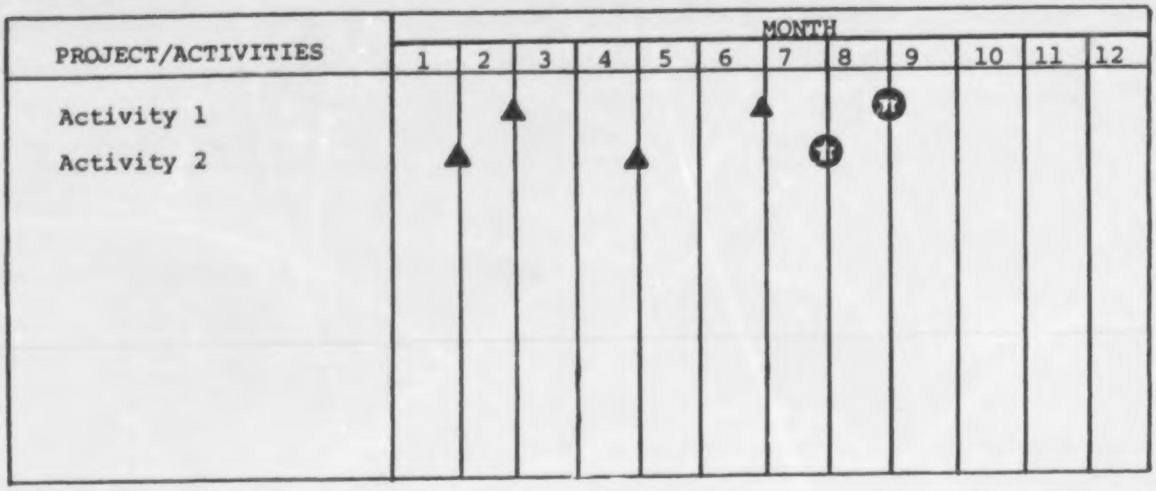
1. What end products or results will be produced? In what time period or by what date?

2. What interim products will be produced? By when?

3. What major activities will be accomplished? By when?

4. What are project benchmarks? When will they occur?

5. What are the major tasks or steps necessary to complete each project? What is their timeline?



▲ = major benchmark
✪ = deliverable product

## 2.1 STANDARDS SETTING FORM

USE: To develop performance standards for PIC programs, components, and projects.

Assessment Level (Program/Component/Project): _____

Assessment Area (Project/Activity/Services): _____

| | INDICATORS (What to Measure) | STANDARDS (Level of Perf. Expected) |
|---|---|---|
| INTERIM | | |
| TERMINAL | | |

## 3.1 RFP CONTENTS CHECKLIST

USE: To structure effective Requests for Proposals to assist in the delivery of PIC projects.

☐ Project Title

- ☐ Describes project
- ☐ Brief description of service to be provided
- ☐ Indication of competitive bidding
- ☐ Closing date for bids

☐ Program Information

- ☐ PSIP-CETA legislation
- ☐ PIC in general
- ☐ Your PIC concerns/perspectives and mission
- ☐ Relevant goals from your strategic plan

☐ Project Objectives

- ☐ Services to be provided
- ☐ Purpose of project
- ☐ Specific project objectives
- ☐ Obstacles/barriers at which project is aimed
- ☐ Assumptions underlying service approaches

☐ Scope of Work

- ☐ Sub-objectives of project
- ☐ Activities to be performed
- ☐ Services to be provided
- ☐ Characteristics of target groups

☐ Performance Measures and Evaluation Criteria

- ☐ Measures for project monitoring
- ☐ Measures for evaluating performance
- ☐ Evaluation criteria for each project component
- ☐ Performance standards

☐ Performance Schedule

- ☐ Major activities
- ☐ Achievement levels
- ☐ Specific dates

☐ Management and Reporting Requirements

- ☐ Required reports
- ☐ Required administrative procedures

☐ PIC Policy and Regulations

- ☐ Contracting procedures
- ☐ Type of contract to be awarded
- ☐ Method of payment

## 3.2 PROPOSAL REVIEW CRITERIA

USE: To analyze responses to Requests for Proposal.

Following is a list of in-depth proposal review criteria.

Program Impact/Outcome - Potential contribution of the program toward the resolution of the problems experienced by the eligible population, and the program's potential contribution toward the attainment of PIC goals.

1. Will the proposed program result in placements in the private sector at a rate acceptable to the PIC?
2. Will the proposed program result in proportional placement in jobs for all significant segments?
3. Will the proposed program facilitate and result in retention of participants by employers after placement?
4. Will the proposed training and/or services enhance the upward mobility and promotional opportunities of participants?

Program Design - Potential success of the program design in the attainment of the described outcomes/impact.

1. Does the proposed program satisfy one or more of the criteria for projects to be funded under Title VII within the PIC?
2. Does the proposal contain a feasible design and rationale describing who will do what, when, where and how (i.e., program activities and participant flow)?
3. If the cooperation of other organizations is necessary to successfully implement the program, does the proposal describe the coordination with those other organizations?

4. Does the proposal describe adequate and potentially successful procedures for outreach, recruitment and assessment of participants that will ensure enrollment of significant segments at the proposed rates?

5. Does the proposal adequately describe training for occupations which are in demand and explain how persons trained will be successfully placed into such jobs?

6. Does the proposal adequately describe how the offeror will provide the support necessary to sustain participants throughout the training in order to reduce attrition?

Program Cost - How do the following cost factors compare with competing proposals:

1. Cost per participant enrolled (total program cost minus income transferred to participants).

2. Cost per placement (total program cost minus income transferred to participants).

3. Does the proposal adequately explain and justify the costs of the program?

Management Plan - Ability of the organization to implement the proposed program and attain the stated objectives.

1. Does the proposer's past relevant experience indicate a potential for successful management and implementation of the proposed program?

2. Does the proposer demonstrate success, or reflect a potential for success in providing the described services and/or training?

3. Does the proposer demonstrate success, or reflect a potential for success, in serving the eligible population?

4. Does the management plan adequately and feasibly describe the necessary activities, events and timeline for successful implementation of the program?

## 3.3 CURRENT CONTRACTOR REVIEW GUIDELINES AND FORM

USE: To review and assess the performance of current PIC contractors.

- Is the training entity well-established?
- Does the training entity have adequate facilities?
- Will it provide counseling and placement services?
- Has the curriculum been developed with private sector input?
- Does the entity have adequate accounting procedures?
- What are criteria for instructors?
- Will attitudinal and skill training be provided?
- Will training qualify CETA participants for job openings?
- What are procedures for placing workers in unsubsidized jobs?

## Projected Outcomes for FY'81
## Description of Performance by Current Contractor

Jurisdiction: ______________________________

Program Activity: __________________________

| | Planned, or Perf. Stand. | Actual | Variance |
|---|---|---|---|
| A. Total Enrollments: | ______ # | ______ # | ______ % |
| 1. Minorities | ______ % | ______ % | ______ % |
| 2. Females | ______ % | ______ % | ______ % |
| 3. Youth (21 and under) | ______ % | ______ % | ______ % |
| 4. Older Workers (45 and older) | ______ % | ______ % | ______ % |
| B. Total Terminations: | | | |
| 1. Entered Unsubsidized Employment | ______ # | ______ # | ______ % |
| 2. Additional Positive Terminations | ______ % | ______ % | ______ % |
| 3. Other Terminations | ______ % | ______ % | ______ % |
| C. Entered Unsubsidized Employment in a Private Sector Job | ______ % | ______ % | ______ % |

D. Expenditures

| Program Activity | Planned | Actual | Variance |
|---|---|---|---|
| 1. STP | $______ | $______ | ______ % |
| 2. OJT | $______ | $______ | ______ % |
| 3. CRT | $______ | $______ | ______ % |
| 4. EGS | $______ | $______ | ______ % |
| 5. Total | $______ | $______ | ______ % |

## 4.1 PROGRAM OPERATIONS PLAN OUTLINE

USE: To structure content for PIC's Program Operations Plan.

- PIC Program Performance Standards
- PIC Administrative Structure and Organization
- PIC Operating Procedures
- PIC Program Delivery System
- PIC Projects
- PIC Management Plan and Procedures
- PIC Evaluation Plan and Procedures
- Budget Allocation and Accounting Procedures

## 4.2 FINAL COST PLAN CHECKLIST

USE: To review final program costs to ensure that they are within original planner range and PIC's final budget allocation.

☐ Document all final projects costs

☐ Compare final project costs to original estimates

☐ Note differences

☐ Display all line item costs

☐ Check to make sure that funds are planned to generate services at maximum levels of efficiency

☐ Arrange costs in proper categories

☐ Check to make sure that all projected costs are in accordance with federal regulations:

  ☐ Participant related - at least 50%
  ☐ EGS - up to 30%
  ☐ Administrative - no more than 20%

☐ Check to be sure that total costs don't exceed total allocations

## 4.3 SAMPLE WORK STATEMENT FORMAT

USE: To serve as a model for project work statements.

### YOUTH TRAINING UNIT

| | |
|---|---|
| Number to be served: | 60 slots |
| 6-month period: | November 1981 through April 1982 |
| Type of Training: | Various including Clerical, Merchandising, Brick-laying, Electrical Repair, Food Service |

1. What service the component provides

The PIC will provide allowances and in some cases tuition payments for persons participating in occupational training at various local private sector training institutions.

2. Client assignment standards

Counselors will assign persons between the ages of 17-22 who show prerequisite talents, a degree of dexterity, and basic education to successfully complete training within a 26-week period or less.

3. What work is to be done

The Youth Training Coordinator will

a. Develop training sites as required.
b. Coordinate the flow of participants into and out of program.
c. Analyze and report on the effectiveness of the program.
d. Monitor training sites and applicant progress.
e. Monitor the payment of trainees.

The Counseling staff will

a. Select and refer eligible participants.
b. Maintain follow-up as required.

The training institutions will

a. Provide training in the various skills areas.
b. Aid in the placement of trainees.
c. Provide information on participant progress to the project coordinator.

Work Schedule

a. Enrollment in training programs will be accomplished on an open-entry basis, according to individual needs.
b. Training will be completed within a maximum of 26 weeks.
c. All participants will be paid on a weekly basis, attendance records will be processed weekly.
d. Follow-up contacts will be made as necessary, but not less than once per month.

5. How the work is to be coordinated

Support given

a. A youth training coordinator will inform counselors of available slots.
b. The coordinator will insure that counselors are aware of status changes and the need for special follow-up.
c. The coordinator will assist counselors in obtaining follow-up and progress reports
d. The coordinator will monitor payroll and attendance.
e. The coordinator will insure proper implementation of program.

Support received

a. Counseling staff will inform the coordinator when slots are desired.
b. Counseling staff will refer eligible applicants.
c. Counseling staff will provide support services for trainees as needed.

6. Administrative procedures

The training agency will prepare and submit all forms, internal records, logs and reports required by the youth training coordinator. The coordinator will provide same to the director of employment and training programs and to counselor supervisors when necessary.

7. Performance Standards

The following standards will be used to measure performance in this component:

a. All training slots shall be developed in credible private or public training agencies.
b. Not more than 10 percent of participants shall be terminated for reasons other than transfer to another status.
c. Not less than 85 percent of completions will be placed in jobs as a result of the training.
d. Not less than 90 percent of the occupational training conducted will be completed in 26 weeks or less.

e. The Prime Sponsor shall require the accurate, legible, and timely submission of attendance records on a weekly basis.

f. The Prime Sponsor shall require submission of complete and accurate trainee progress reports on a monthly basis.

8. Monitoring arrangements

a. Standard (a) shall be insured by the youth training coordinator's personal review prior to commitment.

b. Standards (b), (c), and (d) shall be monitored by the director of planning and evaluation through reports required for this purpose.

c. Standards (e) and (f) shall be monitored by the youth training coordinator and director of work training.

9. Staffing

1 youth training coordinator (full time)
1 payroll clerk (1/3 time)
1 secretary (1/3 time)

## E. DEVELOP MANAGEMENT (MONITORING) PLAN

### PME AIDS

| Step | | Section III Reference Pages |
|---|---|---|
| 1. | Establish Management Review and Control Process | |
| 1.1 | Operational Review Process Questions | III-221-224 |
| 1.2 | Responsibility Assignment Questions | III-224-228 |
| 2. | Determine Management Information and Reporting Needs | |
| 2.1 | Basic Management Information Needs Questions | III-231-233 |
| 2.2 | Management Information and Monitoring Planning Worksheet | III-233-239 |
| 3. | Design Management Reporting System | |
| 3.1 | Basic Monitoring Format | III-245-246 |
| 3.2 | Trend Analysis Form | III-246 |
| 3.3 | Comparative Analysis Form | III-246 |
| 3.4 | Trend and Comparative Analysis Form | III-248-250 |
| 3.5 | Monthly Participant Activity Report Form | III-246-247 |
| 3.6 | Monthly Services Assessment Form | III-246-247 |
| 3.7 | Sample Trend Analysis Management Reporting Display Chart | III-246-248 |

## 1.1 OPERATIONAL REVIEW PROCESS QUESTIONS

USE: To determine basic procedures and methods for overseeing, directing, and controlling PIC operations and program performance.

### QUESTIONS

By answering the following questions, you can lay the groundwork for your PIC's basic monitoring procedures.

- What information is absolutely essential for monitoring performance and managing the PIC's program?
- What are the sources of this information?
- How can this information be collected?
- What procedures are necessary for analyzing the information?
- When, how often, and in what manner should the information be reported?
- Who will review management reports?
- How will corrective actions be implemented?

## 1.2 RESPONSIBILITY ASSIGNMENT QUESTIONS

USE: To establish individual responsibility and accountability for implementing PIC's operational review process.

### QUESTIONS

By answering the following questions, you will have the information necessary to determine basic management review responsibilities for both PIC staff and members.

* Who will have ultimate responsibility for administering the monitoring plan?
* Who will supervise monitoring?
* Who will prepare monitoring and management reports?
* Who will be involved in the analysis of monitoring reports and in the interpretation of findings?
* What will the Council's role be in the monitoring process?

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## 2.1 BASIC MANAGEMENT INFORMATION NEEDS QUESTIONS

USE: To determine the general types and quantity of data essential for effective program management.

### QUESTIONS

Answering these questions will help you to determine your minimum data needs.

A. Participant Data

- Who has been served? (participant characteristics)
- How many have been served? (enrollment data)
- What have been the program outcomes? (determination and completion data)
- What has it cost? (expenditure data)

B. EGS Data

- What products/activities have been completed?
- What have been the results?
- Were they completed in a timely and high quality manner?
- What has it cost?

## 2.2 MANAGEMENT INFORMATION AND MONITORING PLANNING WORKSHEET

USE: To determine specific information needs, sources, method(s) and frequences of data collection for each PIC project.

Component/Project: ____________________

| PURPOSE/ACTIVITIES | OBJECTIVES | INDICATORS OF PERFORMANCE | INFORMATION REQUIRED | RECOMMENDED FREQUENCY AND OPTIMAL SOURCE | INFORMATION CURRENTLY REPORTED? | |
|---|---|---|---|---|---|---|
| | | | | | YES | NO |
| 1 | 2 | 3 | 4 | 5 | 6 | |
| | | | | | | |

## 3.1 BASIC MONITORING FORMAT

USE: To chart and review PIC program performance.

| Area | Performance Indicators | Actual | Plan | % Variance |
|---|---|---|---|---|
|  |  |  |  |  |

USE: To analyze performance over time.

## 3.2 TREND ANALYSIS FORM

## TITLE VII

PERFORMANCE INDICATOR TRENDS: SIGNIFICANT SEGMENTS* PERCENTAGE OF PROGRAM ENROLLMENTS

| SIGNIFICANT SEGMENT ENROLLMENT CATEGORY | 1st Quarter | | | 2nd Quarter | | | 3rd Quarter | | | 4th Quarter FY 80 | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. | Pl.%* | Act.%** | % of Dev. |
| Male | | | | | | | | | | | | |
| Female | | | | | | | | | | | | |
| 19 & Under | | | | | | | | | | | | |
| 20-21 | | | | | | | | | | | | |
| 22-44 | | | | | | | | | | | | |
| 45-54 | | | | | | | | | | | | |
| 55 & Over | | | | | | | | | | | | |
| W. - (N.H.) | | | | | | | | | | | | |
| B. - (N.H.) | | | | | | | | | | | | |
| Hispanic | | | | | | | | | | | | |
| A.I. & AN. | | | | | | | | | | | | |
| A. & P.I. | | | | | | | | | | | | |

*Plan percentage: Use demographic tables in Annual Plan or compute from PPS (Part IVA-L)÷(Part IA);

**Actual percentage: Compute from QSPC (sig. seg.)÷(Total partic. enrolled)

## 3.3 COMPARATIVE ANALYSIS FORM

USE: To compare and assess performance among PIC program components.

COMPONENT: Classroom Training[1]  Quarter ________

| SERVICES DELIVERERS | ENROLLED | | | TRNG. EXPENDITURES | | | POS. TERMINATIONS | | | ENTERED EMP. | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act. | Var. |
| Project A | | | | | | | | | | | | |
| Project B | | | | | | | | | | | | |
| Project C | | | | | | | | | | | | |
| - Deliverer 1 | | | | | | | | | | | | |
| - Deliverer 2 | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

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[1] Another indicator frequently used in this area is pre-CETA earnings vs. post-CETA earnings.

## 3.4 TREND AND COMPARATIVE ANALYSIS FORM

USE: To analyze and compare performance over time among PIC program components.

PERFORMANCE INDICATOR TRENDS: EXPENDITURES*
TITLE VII

| PROGRAM COMPONENT * | 4th Quarter | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|---|---|---|---|---|---|
| CLASSROOM TRAINING | % | % | % | % | % |
| OJT | | | | | |
| SERVICES TO PARTICIPANTS | | | | | |
| EMPLOYMENT GEN. SERVICES | | | | | |
| OTHER ____________________ | | | | | |
| OTHER ____________________ | | | | | |
| TOTAL EXPENDITURES | | | | | |
| Upgrading | | | | | |
| Retraining | | | | | |

* Enter percent of program funds expended, compared to planned budget.
Ref: Financial Status Report.

## 3.5 MONTHLY PARTICIPANT ACTIVITY REPORT FORM

USE: To present data regarding participant progress in PIC program.

REPORT #1

**MONTHLY PROGRAM/ACTIVITY REPORT**

Report for Period Ending: ______________________ ☐ TOTAL CETA PROGRAM ☐ ACTIVITY: __________

| | ASSESSMENT INDICATORS | PLAN | ACTUAL | % VARIANCE FROM PLAN | PERFORMANCE STANDARD | WARNING LIGHT | COMMENTS |
|---|---|---|---|---|---|---|---|
| COSTS | 1. Total Costs (2 + 3) | | | | | | |
| | 2. Regular Costs | | | | | | |
| | 3. Administrative/Allocated Costs | | | | | | |
| ENROLLEES | 4. Total Cumulative Participants (4a + 4b) | | | | | | |
| | a. On Board Beginning of Grant | | | | | | |
| | b. New Participants | | | | | | |
| | 5. Total Terminations (5a, b, + c) | | | | | | |
| | a. Total Placements (5a(1) + 5a(2)) | | | | | | |
| | * (1) Direct | | | | | | |
| | * (2) Indirect | | | | | | |
| | b. Total Positive Early Terminees | | | | | | |
| | c. Other Terminations | XXX | | XXX | XXX | | |
| | 6. Current Enrollment (4 - 5) | | | | | | |
| | 7.**Number Completing Activity | | | | | | |
| | 8. *No. Completing Job Entry Period | | | | | | |
| OPTIONAL | 9. | | | | | | |
| | 10. | | | | | | |
| | 11. | | | | | | |
| | 12. | | | | | | |
| RATIOS | 13. Positive Completion Rate (7 + 5b ÷ 5 x 100)** | | | XXX | | | |
| | 14. Placement Rate (5a ÷ 5 x 100) | | | XXX | | | |
| | 15. Direct Placement Rate (5a(1) ÷ 5a x 100)* | | | XXX | | | |
| | 16. Job Entry Completion Rate (8 ÷ 5a x 100)* | | | XXX | | | |
| | 17. Administrative Cost Ratio (3 ÷ 1 x 100) | | | XXX | | | |
| EFFECTIVENESS | 18. Average Cost per Participant (1 ÷ 4) | | | XXX | | | |
| | 19. Average Cost per Placement (1 ÷ 5a) | | | XXX | | | |
| | 20. Aver. Cost per Positive Completion (1 ÷ 7 + 5b)** | | | XXX | | | |
| | 21. Average Cost per Man-year | | | XXX | | | |
| | | | | | | | |

*Utilized for Total CETA Program Only
**Utilized at Activity Level only

## 3.6 MONTHLY SERVICES ASSESSMENT FORM

USE: To present data regarding participant services provided through PIC program.

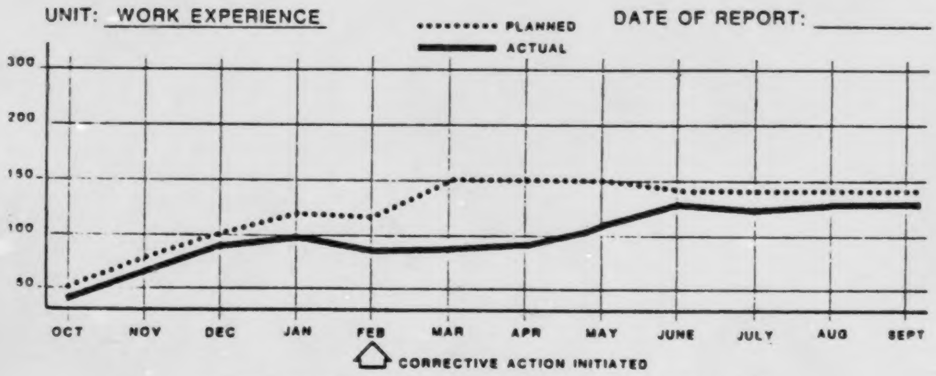
REPORT PERIOD__________to______________

| INDICATORS | Number of Clients Served | | | | INCIDENTS OF SERVICE | | | TOTAL COSTS | | | Staff Time | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Plan | Actual | Var. | Warn. | Plan | Act. | Var. | Plan | Act. | Var. | Plan | Act |
| TOTAL SERVICES TO CLIENTS | | | | | | | | | | | | |
| TOTAL MANPOWER SERVICES | | | | | | | | | | | | |
| .Intake | | | | | | | | | | | | |
| .Orientation | | | | | | | | | | | | |
| .Counseling/Coaching | | | | | | | | | | | | |
| .Job Development | | | | | | | | | | | | |
| .Placement | | | | | | | | | | | | |
| .Placement Followup | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| TOTAL SUPPORT SERVICES | | | | | | | | | | | | |
| .Child Care | | | | | | | | | | | | |
| .Transportation | | | | | | | | | | | | |
| .Medical Treatment | | | | | | | | | | | | |
| .Family Planning | | | | | | | | | | | | |
| .Vocation Rehab. | | | | | | | | | | | | |
| .Bonding | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |

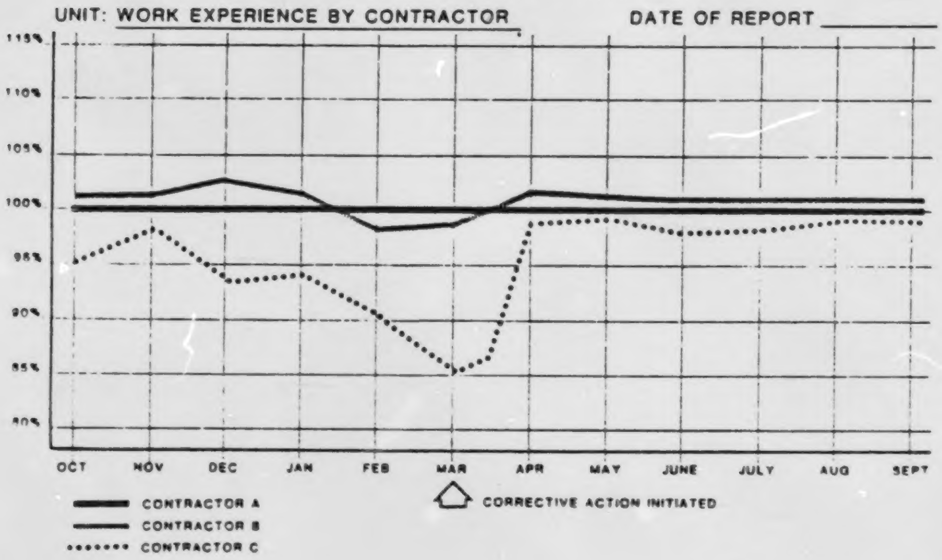
| Comparison Ratios | Cost per Client | Cost per Incident of Service | Percentage of Staff Time | Percentage of Total Manpower Service Costs | |
|---|---|---|---|---|---|
| Manpower Services | | | | | |
| Supportive Services | | | | | |

## 3.7 SAMPLE TREND ANALYSIS MANAGEMENT REPORTING DISPLAY CHART

USE: To arrange performance data in such a fashion that it is easily reviewable for management control purposes.



TREND ANALYSIS: PERCENT OF PLANNED ENROLLMENT



# F. DEVELOP EVALUATION PLAN

## PME AIDS

| Step | | Section III Reference Pages |
|---|---|---|
| 1. | Establish Scope and Nature of Evaluation | |
| 1.1 | Type of Evaluation Questions | III-259-260 |
| 1.2 | Outcome Evaluation Formats | III-260-261 |
| 1.3 | Relative Effectiveness Evaluation Checklist | III-261-271 |
| 1.4 | Impact Evaluation Checklist and Questions | III-271-279 |
| 2. | Assign Evaluation Responsibilities and Establish Procedures | |
| 2.1 | Evaluation Review Process Questions | III-283-285 |
| 2.2 | Evaluation Responsibilities Questions | III-285-288 |
| 3. | Construct Evaluation Research Design | |
| 3.1 | Evaluation Plan Development Questions | III-293-301 |
| 3.2 | Model Evaluation Plan Format | III-301-302 |
| 4. | Create Research and Data Gathering Instruments | |
| 4.1 | Basic Baseline Data Worksheet Format | III-305-306 |
| 4.2 | Evaluation Research Instruments Checklist | III-307-311 |

## 1.1 TYPE OF EVALUATION QUESTIONS

USE: To determine the primary type(s) of evaluation your PIC will employ to evaluate its programs.

### QUESTIONS

Answer the questions below to begin to determine the general scope and focus of your PIC's evaluation. Then determine what relative proportion of your PIC's overall evaluation efforts should be concentrated in each of those areas which you defined as important.

| | Very Imp. | | Imp. | | Not Imp. |
|---|---|---|---|---|---|
| How important is it, at this point in its evolution, for your PIC to know how well your program performed against those standards set at the beginning of the performance period? (outcome evaluation) | 5 | 4 | 3 | 2 | 1 |
| How important is it for your PIC to be able to assess and compare the effectiveness of projects, tactics, service deliverers, and program components (Relative Effective Evaluation) | 5 | 4 | 3 | 2 | 1 |
| How important is it for your PIC to be able to determine the extent to which your programs have brought about institutional change or achieved your PIC's broad goals? (Impact Evaluation) | 5 | 4 | 3 | 2 | 1 |

What relative proportion of your PIC's evaluation efforts should it allocate to the types of evaluation listed below?

| Type | Proportion of Total Evaluation Effort |
|---|---|
| Outcome Evaluation | ____________ |
| Relative Effectiveness Evaluation | ____________ |
| Impact Evaluation | ____________ |

## 1.2 OUTCOME EVALUATION FORMATS

USE: To determine what outcome indicators and standards will be used to evaluate your PIC's program success.

Refer to forms under Stage B, Step 1, pp. IV-17 to IV-43.

## 1.3 RELATIVE EFFECTIVENESS EVALUATION CHECKLIST

USE: To determine what types of effectiveness indexes to use to evaluate your PIC's programs.

### Checklists

There are three basic forms of indexes which can be used to assess the relative effectiveness of your PIC's efforts. These indexes are defined below. Check the type of index(es) which your PIC will use to compare effectiveness and write in the space designated the specific index or indicators that you want to apply.

| TYPES OF INDEXES | TO BE USED (✓) | INDEX MEASURE(S) OR INDICATORS TO BE APPLIED |
|---|---|---|
| Effectiveness - performance measure which combines two or more measures of effectiveness to derive a result stated in numerical terms (e.g., placement/wage index) | _____ | |
| Cost Effectiveness - performance measures which combine or associate costs with effectiveness indexes to determine the relationship of costs to effectiveness in achieving planned results. | _____ | |
| Composite - performance measure compiled of several factors (e.g., planned versus actual performance; extent of service or more in need; cost effectiveness; extent to which participants complete component; weighted according to their importance. | _____ | |

## 1.4 IMPACT EVALUATION CHECKLIST AND QUESTIONS

USE: To select those areas in which to do impact evaluations and to determine the general type of evaluation to implement.

### QUESTIONS AND CHECKLIST

There are three general areas in which to do impact evaluation. Check below the areas in which you wish to conduct evaluation.

_____ Participant change
_____ Cost benefits
_____ Community or institutional change

Then, based on the area(s) which you have selected, determine the general type of evaluation which you wish to do and/or the questions you wish to be able to answer.

### Participant Change Evaluation

What measures or indicators (e.g., earnings gain, private sector jobs secured, length of employment) do you want to look at to assess participant change? List these measures below.

What method(s) will you employ to apply these measures? Check off the appropriate technique from among those listed below.

_____Follow-up Studies
_____Time Series Design
_____Comparison and/or Control Group

### Cost Benefits Evaluation

If you have selected the cost benefit method of evaluation, what techniques do you intend to employ? Check the appropriate technique(s) listed below.

_____net present value approach
_____benefit-cost ratio
_____internal rate of return method
_____payback method

### Community or Institutional Change

If you have decided to look at community or institutional change, check off from the areas and the questions listed below those which will become the focus for your inquiry.

AREA FOR EVALUATION (✓) — QUESTIONS TO ASK (✓)

___ Institutional Impact of Title VII

- Has the PIC stimulated new business participation in local employment and training efforts? ___
- Has the PIC stimulated new responsiveness on the part of "traditional" employment and training deliverers to the needs of business? ___
- Is there a comprehensive planning approach between PIC and the local Employment and Training Council? ___
- Has the PIC stimulated any areawide planning between different prime sponsorship areas and other PICs? ___
- Other ___

___ Attitudinal Impact of Title VII

- How has the PIC program affected the attitudes of employers toward the program, toward employment and training programs in general; and toward eligible clients as potential employees? ___
- How has the PIC program impacted on the attitudes and motivations of participants? ___
- Other ___

___ Patterns of Service

- What are the characteristics of the participants being served? How do they compare to regular CETA clients, goals, and some statement of "universe of need"? ___
- What are the characteristics of the businesses being served? Where do they stand in the overall economic structure of the area? ___
- Other ___

___ Cost

- What reasonable cost calculations can be made about some of the above impacts? ___
- Other ___

## 2.1 EVALUATION REVIEW PROCESS QUESTIONS

USE: To determine your PIC's basic process for evaluating program results.

### QUESTIONS

Answer the following questions:

- What is the overall purpose of your PIC's evaluation?
- What are the expectations regarding the evaluation? What should it enable you to tell or do?
- What resources will be expended for the evaluation?
- What methods will be used to coordinate the PIC's evaluation activities with those being undertaken by the Prime Sponsor?
- What procedures will be devised for the systematic review of evaluation plans, methodologies, data, and findings?
- What will be the due dates for any reports or documents from the evaluation?
- What methods will be used for monitoring the evaluation (e.g., monthly meetings or progress reports)?
- What will be the policies regarding the retention of records and raw data?
- What procedures will be used for resolving problem issues as they occur?

## 2.2 EVALUATION RESPONSIBILITIES QUESTIONS

USE: To assign responsibilities for the conduct of your PIC's evaluation.

### QUESTIONS

In order to determine who should be responsible for the actual conduct of your PIC's evaluation, answer the following questions:

- How much emphasis is being placed on the evaluation at your PIC?
- What resources will be made available to implement your evaluation plan?
- What will the role of the Council be in the evaluation?
- Who will have the ultimate responsibility for administering the evaluation program?
- Who will supervise the evaluator(s)?
- Who will be involved in the analysis of evaluation reports and in the interpretation of data?
- To whom will those individuals charged with conducting the evaluation report?
- What will the responsibilities of staff be in the evaluation?
- Do any current staff members have the capability (or the time) to perform evaluation research?
- Would it make more sense to hire a full-time evaluation specialist or employ private contractors on an ad hoc basis?

## 3.1 EVALUATION PLAN DEVELOPMENT QUESTIONS

USE: To determine the basic structure, content, and format for your PIC's evaluation program for this fiscal year.

### QUESTIONS

Answer the following questions:

- Why is the PIC's program being evaluated?
- What are the primary and secondary objectives (standards) of the program?
- Which of these objectives (standards) are stated in readily measurable terms?
- What are the hypotheses you want to test?
- What resources are available to evaluate the program?
- How much time is permitted for the evaluation?
- What data is needed?
- Where does this data exist?
- How can this data be obtained?
- How will this data be analyzed?
- How will the findings be used?
- What format will be best for presenting your evaluation findings?

## 3.2 MODEL EVALUATION PLAN FORMAT

USE: To present summary information regarding your PIC's evaluation plan for the fiscal year.

Your PIC's evaluation plan should consist of the following sections:

1. Purpose: states the reasons why the study is being undertaken. Incorporates a brief description of the program and its goals.

2. Rationale: states succinctly reasons for, and purposes of, evaluation, and how study results will be used.

3. Objectives: specifies objectives and scope for the evaluation.

4. Methodology: the heart of the research design, states exactly how the evaluation will be performed. Details:

    - data that will be needed
    - techniques of data collection
    - means of data aggregation and analysis.

5. Instruments: describes the types of instruments and worksheets needed to collect and treat the data and discusses the process by which they will be developed.

6. Schedule: sets out a timetable to govern the progress of the evaluation. Highlights all deadlines and due dates.

7. Reports: indicates the types or reports that will result from the evaluation, including their content, format, and submission dates.

## 4.1 BASIC BASELINE DATA WORKSHEET

USE: To analyze performance against plan employing data retrieved through your PIC's reporting system.

| Project/ Area | Indicator | Standard or Plan | Actual Performance | Variance (± %) |
|---|---|---|---|---|
| | | | | |

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## 4.2 EVALUATION RESEARCH INSTRUMENT CHECKLIST

USE: To check the effectiveness of your evaluation research instruments.

If your evaluation research instrument is effective, you should be able to answer "yes" to the following questions:

- Is the data collection effort restricted to that information required to achieve the objectives of the evaluation? Yes ☐ No ☐
- Have you ensured that your instrument is comprehensive enough in scope to answer all questions which are important to your evaluation effort? Yes ☐ No ☐
- Is the wording of items simple and non-technical so that they can be easily interpreted by respondents? Yes ☐ No ☐
- If technical terms must be used, have they been defined so that they can be understood uniformly by both the respondent and the data collector? Yes ☐ No ☐
- Have the instruments been designed so that they are streamlined in format and easy to use? Yes ☐ No ☐

## G. MONITOR PROGRAM

### PME AIDS

| Step | | Section III Reference Pages |
|---|---|---|
| 1. | Analyze Planned Versus Actual Performance | |
| 1.1 | Basic Participant Information on Monthly Reports | III-317-320 |
| 1.2 | Participant Monthly Report Format | III-318 |
| 1.3 | EGS Monthly Report Format | III-320-321 |
| 1.4 | Performance Versus Plan Control Board Format | III-322 |
| 1.5 | Sample On-site Monitoring Checklist | III-317-324 |
| 1.6 | On-site Records Review Instruments<br>--Employability Development Planning<br>--Occupational Classroom Training<br>--OJT | III-317-324 |
| 2. | Initiative Corrective Monitoring | |
| 2.1 | Corrective Monitoring Visit Checklist | III-327-332 |
| 3. | Ensure Necessary Corrective Actions | |
| 3.1 | Corrective Action Plan Format | III-335-336 |

## 1.1 BASIC PARTICIPANT INFORMATION ON MONTHLY REPORTS CHECKLIST

USE: To ensure monthly reports for your PIC which provide the essential information for effective program monitoring.

Items that should be included on your participant-related monthly reports include:

____ On Board: number of persons who are enrolled in the program at the beginning of the month.

____ Entries (new participants): number of persons who enroll in the program during the month.

____ Exits (terminations): number of persons who cease to be enrolled in the program during the month for any reason, including:

____ a. Placements - persons who enter employment during the month or who enter an initial employment period.

____ b. Other positive terminations - persons who transfer to other training, return to school, enter the military, or go on to other unsubsidized employment.

____ c. Nonpositive terminations - persons who left the program for reasons other than (a) and (b) above.

____ d. Completers in holding - persons who complete the program during the month and are waiting for an appropriate job opening.

Other items frequently on monthly reports include:

____ Participant characteristics

____ Financial measurements (accrued expenditures; portion of expenditures transferred directly to participants).

An example of a monthly report format follows.

## 1.2 PARTICIPANT MONTHLY REPORT FORMAT

USE: To collect data regarding the performance of individual participant-serving projects.

### MONTHLY PROGRAM/ACTIVITY REPORT

Sponsor ____________________

Project ____________________

Report Period ____________________

1. Total costs (2, 3, 4, and 5) ____________________
2. Training costs ____________________
3. Administrative costs ____________________
4. Supportive services ____________________
5. Allowance costs ____________________
6. Total cumulative participants (6a + 6b) ____________________
   a. On-board beginning of grant ____________________
   b. New participants ____________________
7. Total terminations (7a, 7b + 7c) ____________________
   a. Total placements (7a(1) + 7a(2)) ____________________
      (1) Direct ____________________
      (2) Indirect ____________________
   b. Total other positive terminations ____________________
      (1) Other vocational training ____________________
      (2) Moved to other employment ____________________
      (3) Back to school ____________________
      (4) Military ____________________
      (5) Other ____________________
   c. Total negative terminations ____________________
      (1) Laid off ____________________
      (2) Health -- pregnancy ____________________
      (3) Family care ____________________
      (4) Moved from area ____________________
      (5) Refused to continue ____________________
      (6) Administrative separation ____________________
      (7) Cannot locate ____________________
      (8) Incarcerated ____________________
      (9) Married ____________________
      (10) Other ____________________
8. Current enrollment (7 - 6) ____________________
9. Number completing activity ____________________
10. Number completing job entry period ____________________
    a. Short-term placements ____________________
    b. Mid-term placements ____________________
    c. Long-term placements ____________________
11. Job retention of
    a. Short-term placements ____________________
    b. Mid-term placements ____________________
    c. Long-term placements ____________________

## 1.3 EGS MONTHLY REPORT FORMAT

**USE:** To collect data from EGS projects.

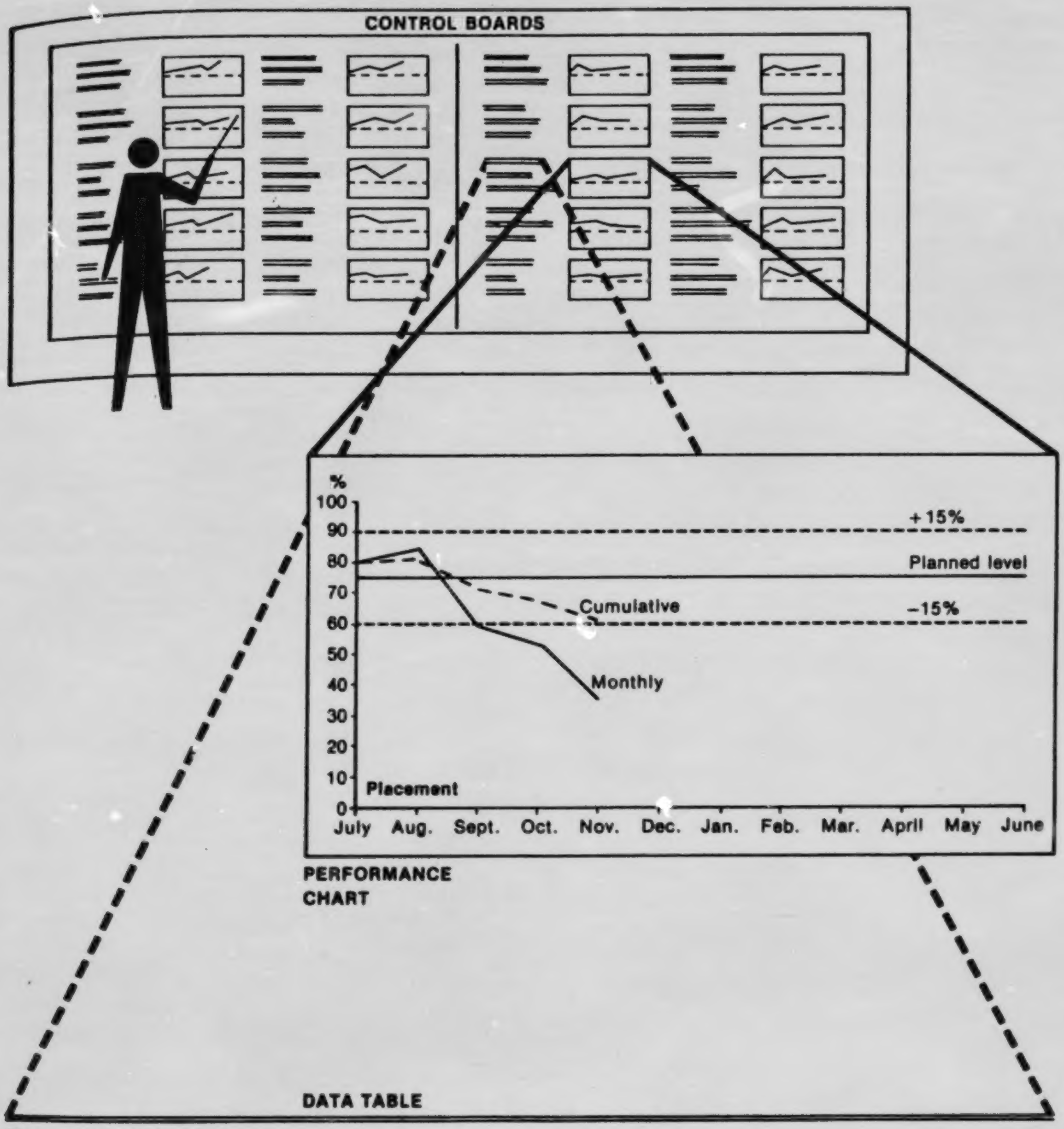
### REPORT FORMAT

| Planned | Actual |
|---|---|
| . Products/Deliverables Expected | . Products Produced |
| . Activities/Tasks Projected | . Activities/Tasks Completed |
| . Results Expected | . Results Achieved |
| . Projected Expenditures | . Actual Expenditures |

- Significant Problems Encountered
- Proposed Modifications to Project

## 1.4 PERFORMANCE VERSUS PLAN CONTROL BOARD FORMAT

USE: To summarize and present graphically data from individual project reports in such a way that it can be used to monitor project, component and program performance.



**Classroom (skill training)**

| Common Data Item | July | Aug. | Sept. | Oct. | Nov. | Dec. | Plan To Date | Actual to Date |
|---|---|---|---|---|---|---|---|---|
| In process beginning month | 490 | 497 | 516 | 527 | 530 | 563 | 550.0 av. | 520.5 av. |
| Entries during month | 91 | 92 | 119 | 89 | 111 | | 85.0 av. | 100.4 av. |
| Exits during month | 84 | 73 | 108 | 86 | 78 | | 85.0 av. | 85.8 av. |
| Placement during month | 67 | 60 | 65 | 48 | 28 | | 63.8 av. | 53.6 av. |
| Placement rate monthly (%) | 79.8 | 82.2 | 60.2 | 55.8 | 35.9 | | 75.0 | 62.8 av. |
| Placement rate cumulative (%) | 79.8 | 80.9 | 72.5 | 68.4 | 62.5 | | 75.0 | 62.5 cum. |

## 1.5 SAMPLE ON-SITE MONITORING CHECKLIST

USE: To review various aspects of participant serving projects.

The condensed checklist which follows was developed from a 25-page document covering a wide range of program services, administration, and financial control categories.

### AREA: OUTREACH AND RECRUITMENT

Data

1. How many individuals have been recruited for programs?
2. By whom are they recruited? (Agency?)
3. How many of the total recruited have been determined to be ineligible for program or services?
4. What are reasons for ineligibility of those recruited during this period?
5. What is the age and sex breakout of individuals screened?

   Male Under 22___ 22-44___45+____

   Female Under 22___ 22-44___45+____
6. How many are disadvantaged? ___
7. How many are members of a minority group? ___

Process

1. What are sources of recruitment? (Agency referrals? Outreach? Walk-in?)
2. What type of community agencies, employment services, welfare departments, service clubs, court systems, and schools are being used?
3. How many people seek assistance a week?
4. In terms of numbers, are too many or too few people being reached?
5. Is a problem developing because the wrong people (target groups) are being recruited?

## AREA: ON-THE-JOB TRAINING SERVICES

### Data

1. How many people were enrolled in the program during this time frame? ___
2. List the occupations in which training is being conducted along with starting wage and wages at completion of training.

| Occupation | Starting Wage | Wage at Completion of Training |
|---|---|---|
| __________ | __________ | __________ |
| __________ | __________ | __________ |
| __________ | __________ | __________ |

3. What is the average length of training? __________
4. What is the age and sex breakout of people receiving on-the-job training services?

Male Under 22___ 22-44 ___ 45+____

Female Under 22___ 22-44 ___ 45+____

5. Number of disadvantaged? ______ Minority? _____
6. Explain the career ladders (i.e., stages of orderly progression which result in long-range advancement).

### Process

1. Are private employers involved in the program, along with public and nonprofit agencies?
2. Are there occupations in the area that need people trained in certain skills? Can job opportunities be developed after people are trained?
3. Is the business world receptive to manpower training and on-the-job trainees?
4. What provisions are made for retention of on-the-job enrollees by employer after the program is completed?

## AREA: SKILLS TRAINING

### Data

1. How many individuals are enrolled by particular occupation? (Include name of occupational field.)

2. What is the length of the training period?

3. What is the age and sex breakout of the enrollees?

Male Under 22 ___ 22-44 ___ 45+___
Female Under 22 ___ 22-44 ___ 45+___

4. Number of disadvantaged? _______ Minority? ________

### Process

1. What opportunities for skills training exist? Who runs them? What is the enrollment process? Does the sponsor have any special privileges for enrolling applicants?

2. What jobs are being trained for? Wage levels? How appropriate are the jobs to the labor market?

3. What is the structure of the program--is it set up in single occupation groups, broad occupation clusters, or purchased singly for an individual?

4. Are projects operated on a specified schedule or on an open-entry/open-exit basis?

5. Are the times for entering training flexible?

## AREA: ACCOUNTING AND FINANCIAL CONTROL

### Data

1. Does the accounting system identify the receipt and expenditures of funds separated for each program?

2. Does the accounting system provide for adequate budgetary control to preclude incurring obligations in excess of total funds available or other contract limitations?

3. Is the responsibility over accounting records separated from the handling of the sponsor's cash receipted or other disbursements?

4. Is the general ledger maintained in ink, with a chart of accounts based on the contract budget-monthly accumulative and balance?

5. Were funds advanced by the Prime Sponsor deposited in a special bank account?

## 1.6 ON-SITE RECORDS REVIEW INSTRUMENTS

USE: To review project or contractor data to ensure conformance to plan and correctness of data which is reported.

### ONSITE RECORDS REVIEW INSTRUMENT

SAMPLE

COMPONTENT OR ACTIVITY EMPLOYABILITY DEVELOPMENT PLANNING

NUMBER OF RECORDS REVIEWED ________

PERIOD COVERED BY REVIEW.

SERVICE PROVIDER ________________ FROM ________ TO ________

DATE OF REVIEW ________

| AREAS TO BE MONITORED | TALLY: YES | TALLY: NO | STANDARD | PERCENT MEETING STANDARD | FINDINGS AND RECOMMENDATIONS |
|---|---|---|---|---|---|
| ASSIGNMENT STANDARDS FOR COMPONENT REFERRED TO MET | | | 100% | | |
| COUNSELOR ASSIGNED ON FIRST DAY AFTER REFERRAL | | | 100% | | |
| COUNSELING LOGS SHOW WEEKLY CONTACT WITH PARTICIPANT | | | 100% | | |
| EDP CONTAINS: | | | 100% | | |
| - GOAL | | | | | |
| - OBJECTIVES AND STEPS | | | | | |
| - ASSESSMENT DATA | | | | | |
| - CHARACTERISTICS | | | | | |
| - DOCUMENTATION THAT ANY NEEDED SUPPORTIVE SERVICED PROVIDED | | | | | |
| IF A COMPONENT ACTIVITY HAS BEEN COMPLETED EDP HAS BEEN UPDATED | | | 100% | | |

SAMPLE

# ONSITE RECORDS REVIEW INSTRUMENT

COMPONENT
OR ACTIVITY OCCUPATIONAL CLASSROOM TRAINING

PERIOD
COVERED BY REVIEW:

NUMBER OF
RECORDS REVIEWED ______

SERVICE PROVIDER ____________________

FROM ______ TO ______

DATE OF REVIEW ______

| AREAS TO BE MONITORED | TALLY: | | STANDARD | PERCENT MEETING STANDARD | FINDINGS AND RECOMMENDATIONS |
|---|---|---|---|---|---|
| | YES | NO | | | |
| PARTICIPANTS COMPLETING TRAINING: | | | | | |
| COMPETENCIES IN EDP MET | | | 95% | | |
| OBTAINED TRAINING RELATED UNSUBSIDIZED EMPLOYMENT | | | 75% | | |
| PARTICIPANTS TERMINATED: | | | | | |
| POSITIVELY COMPLETED | | | 85% | | |
| NONPOSITIVELY TERMINATED PRIOR TO COMPLETION | | | 10% | | |

Form or Document: In OJT Training Record

| Goals | Data Items on Form | Results |
|---|---|---|
| All enrollees shall participate in motivational training | Attendance records | __% in motivational training |
| Enrollees shall be counseled after unexcused absence | Attendance records counselor files | __% of unexcused absences counseled |
| Overall group attendance at sessions shall be 90% | Weekly attedance records | __% attending |
| Job interviews shall be arranged for participants within one week after completion of motivational training | Job developer records | __% of enrollees whose first Interview is within one week of motivational training |
| Jobs shall be developed which pay at least $3.15 per hour | Job developer records | __% jobs developed at or above $3.15 per hour |

## 2.1 CORRECTIVE MONITORING QUESTIONS

USE: To establish an effective process for corrective monitoring by your PIC.

### QUESTIONS

1. How will your monthly performance versus plan data be reviewed?

2. Who will participate in that review?

3. What control limits will be set on your PIC's projects?

4. How will your PIC decide which projects need corrective monitoring visits?

5. Who will be assigned to make those units?

6. How will the project be notified of the visit?

7. What process will be employed to conduct the visit?

8. Who will receive the correct monitoring visit report?

9. How will the project be allowed to participate in shaping or respond to the corrective monitoring visit report?

## 3.1 CORRECTIVE ACTION PLAN FORMAT

USE: To present the results and determination of your corrective action visits in a uniform and consistent manner.

### Format

Your PIC's corrective action plan for each visit should address each area where variance from plan was significant. For each area, the plan should specify the:

--problem and its source
--extent of deviation from the plan
--criteria required for improvements
--remedial steps to be taken
--time frame for improvement
--assignment of responsibility for action
--special monitoring arrangements to be implemented.

## H. EVALUATE RESULTS

### PME AIDS

| Step | Section III Reference Pages |
|---|---|
| 1. Collect Data | |
| 1.1 Follow-up Study Questions | III-349-353 |
| 1.2 Follow-up Study Project Report Format | III-353-363 |
| 1.3 Follow-up Study Comparative Analysis Format | III-361-362 |
| 2. Analyze Data | |
| 2.1 Analytical Techniques - refer to Stage B, Step 1, pp. III-65-81, and Stage E, Step 3, pp. III-243-253 | III-338 |
| 2.2 Goals Measurement Sheet | III-367-369 |
| 3. Feedback into Planning Process | |
| 3.1 Evaluation Report Format | III-373-379 |

## 1.1 FOLLOW-UP STUDY QUESTIONS

USE: To determine nature and extent of follow-up study.

### QUESTIONS

Answer these questions to determine the structure of your PIC's follow-up study.

1. What information should be collected? Is any of the following data important to your study?

Evaluation management data:

. Respondent identifiers; i.e., name, Social Security number, and so forth

. Respondent locator; i.e., address, telephone number, a contact person, and so forth

. Type or method of contact; i.e., mail, telephone, personal, and so forth

Demographic attributes and variables:

. Standard; i.e., age, sex, and ethnicity

. Household responsibilities; i.e., marital status, head of hou-ehold, dependents, and so on

. Special group identifiers; i.e., public assistance status, veteran status, handicapped, and so on

Program and service descriptors:

. Major program; i.e., on-the-job training, classroom, basic education, public service education, and so on

. Services received; i.e., component descriptors

. Length of service; i.e., time, service units and so on

. Service provider identifiers

Work history description

For pre-program and post-program periods, chronological lists and descriptions of periods of:

Employment...employed period descriptions including:

- Job finding activities...friends, want ads, door pounding, public agency, private agency, and so forth
- Employer identifiers...name, address, telephone number, standard industrial classification (SIC) code, and so forth
- Job descriptors...Dictionary of Occupational Titles (DOT) or other, unionized, skill level, and so forth
- Wage and benefit quantifiers...dollar values
- Work intensity...full or part-time hours worked, and so forth
- Perception of supervisor
- Indicators of internal mobility...wage change, job change, promotion, and so on
- Duration of employment
- Reason for termination if applicable

Unemployment...period descriptions including:

- Job finding activities...friends, want ads, door pounding, public agency, private agency, and so forth
- Sources of income during unemployed period
- Duration of spell of unemployment

Not in labor force...period descriptions including:

- Activity while not in the labor force... in school, military, pregnant, household responsibilities, discouraged, prison, and so forth
- Intention to participate in labor force

Income descriptors:

- Sources of income; i.e., wages and salaries, public assistance, unemployment compensation, and so on
- Amount of income

Attitudinal and behavioral indicators:

- Perceptions of job obtained
- Perception of training received
- Recommendations; i.e., services quality, content, and so on
- Indicators of antisocial behavior; i.e., arrest record, drug use, and so on
- Knowledge of manpower services available to participant

Indicators of employers' perception of clients:

- Conformance to work discipline
- Productivity
- Social acceptance in the work environment

2. Who should be contacted?

- Proportion of clients to follow?
- Size of comparison group?
- Sample size?

3. How long should follow-up intervals be?

- 30, 60, 90, 180, 365 days?
- in correspondence with national, state or local studies?

4. How will you follow up?

- Group interviews?
- Individual interviews?
- Personal interviews?
- Telephone interviews?
- Mail surveys?

## 1.2 FOLLOW-UP STUDY PROJECT REPORT FORMAT

USE: To present the results of a follow-up study on a particular project.

### Summary Project Report

Name of project: ____________________ Date: __________

Date of beginning of project: __________ Date of ending: ____

Average length of project per completer: ____________________

Service/activities in basic project: ____________________

No. enrolled: ____________ No. Completed: ____________

No. placed within 3 months of completion: ________ Av. Mo. Earnings

No. employed at 3 month follow-up: ________ Av. Mo. Earnings ____

No. employed after 6 months in occupation for which developed:

____________________________________________

Total cost: __________ Average cost per enrollee: __________

Average cost per completer: ____________________

Average cost per completer employed after 6 months: __________

List of activities/services in program and contractor or subagent for each:

| Activities/Services | Contractor or Subagent |
|---|---|
| ____________________ | ____________________ |
| ____________________ | ____________________ |
| ____________________ | ____________________ |
| ____________________ | ____________________ |

Other pertinent infomation on quality, cost, difficulties, etc.:

____________________________________________

____________________________________________

____________________________________________

Other materials on quality including evaluation analyses:

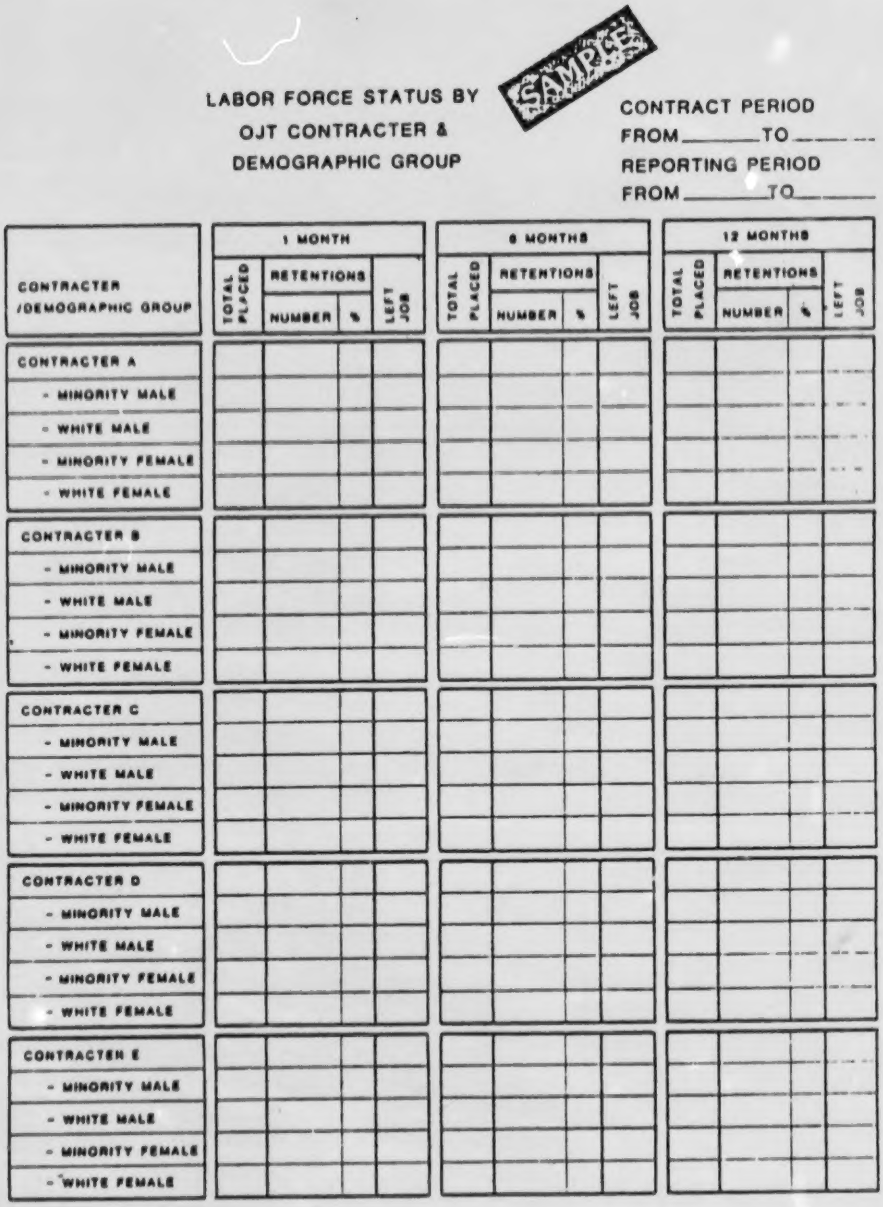
____________________________________________

____________________________________________

____________________________________________

## 1.3 FOLLOW-UP STUDY COMPARATIVE ANALYSIS FORMAT

USE: To display results of a follow-up study on a number of projects or contractors.



SAMPLE

LABOR FORCE STATUS BY
OJT CONTRACTER &
DEMOGRAPHIC GROUP

CONTRACT PERIOD
FROM ______ TO ______
REPORTING PERIOD
FROM ______ TO ______

| CONTRACTER /DEMOGRAPHIC GROUP | 1 MONTH | | | | 6 MONTHS | | | | 12 MONTHS | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | TOTAL PLACED | RETENTIONS | | LEFT JOB | TOTAL PLACED | RETENTIONS | | LEFT JOB | TOTAL PLACED | RETENTIONS | | LEFT JOB |
| | | NUMBER | % | | | NUMBER | % | | | NUMBER | % | |
| CONTRACTER A | | | | | | | | | | | | |
| - MINORITY MALE | | | | | | | | | | | | |
| - WHITE MALE | | | | | | | | | | | | |
| - MINORITY FEMALE | | | | | | | | | | | | |
| - WHITE FEMALE | | | | | | | | | | | | |
| CONTRACTER B | | | | | | | | | | | | |
| - MINORITY MALE | | | | | | | | | | | | |
| - WHITE MALE | | | | | | | | | | | | |
| - MINORITY FEMALE | | | | | | | | | | | | |
| - WHITE FEMALE | | | | | | | | | | | | |
| CONTRACTER C | | | | | | | | | | | | |
| - MINORITY MALE | | | | | | | | | | | | |
| - WHITE MALE | | | | | | | | | | | | |
| - MINORITY FEMALE | | | | | | | | | | | | |
| - WHITE FEMALE | | | | | | | | | | | | |
| CONTRACTER D | | | | | | | | | | | | |
| - MINORITY MALE | | | | | | | | | | | | |
| - WHITE MALE | | | | | | | | | | | | |
| - MINORITY FEMALE | | | | | | | | | | | | |
| - WHITE FEMALE | | | | | | | | | | | | |
| CONTRACTER E | | | | | | | | | | | | |
| - MINORITY MALE | | | | | | | | | | | | |
| - WHITE MALE | | | | | | | | | | | | |
| - MINORITY FEMALE | | | | | | | | | | | | |
| - WHITE FEMALE | | | | | | | | | | | | |

## 2.1 ANALYTICAL TECHNIQUES

**USE:** To determine what analytical techniques and methods to apply to examine your PIC's evaluation data.

Refer to material and forms under Stage B, Step 1, pp. III-65-81 and Stage E, Step 3, pp. III-243-253.

## 2.2 OBJECTIVES/MEASUREMENT ASSESSMENT SHEET

USE: To assess the results of a project at its completion and six months thereafter in terms of its accomplishment of objectives.

### OBJECTIVES MEASUREMENT EXAMPLE WORKSHEET
### FOR
### OJT PROGRAM AT CAREER, INC.

Overall goals: To help participants improve their economic condition; to prepare participants for, and get them involved in positions with lasting unsubsidized employment; to help them get off and staff off public assistance.

Population: Economically disadvantaged adults in the city.

Means: Recruitment, 2-4 weeks of motivational training and pre-employment awareness workshops, 1 to 6 months of on-the-job training with a private employer, supportive services.

## OBJECTIVES/MEASUREMENTS SHEET

For Program: OJT at Career Inc.
Starting: October 1, 1980
Ending: September 30, 1981

| Objectives | Data Items on Form | Results |
|---|---|---|
| 1. 75% will be employed full-time | Labor Force status | __% employed full-time |
| 2. 85% will be either employed or in further training | Are you in school or training? | __% in school or training |
| 3. 100% of those on welfare before training will now be off welfare | Receiving public assistance? | __% off welfare |
| 4. 6 months earnings will equal pre-training annual earnings or exceed it | Cumulative earnings since training, (compared to pre-program earnings) | post-earnings = __% of pre-earnings |
| Form or Document:<br>Exit/Termination | | |
| 5. At least 85% will either complete OJT or be placed in unsubsidized job before completion | Termination status | __% completing OJT<br>__% placed in unsubsidized jobs |
| 6. All placements in OJT/Jobs shall be at least at minimum wage | Wages per hour | __% of jobs at or above minimum wage |
| 7. At least 25% of participants lacking GEDs will have completed them | GED completed? | __% of original non-GEDs completing GEDs |

## 3.1 EVALUATION REPORT FORMAT

USE: To present the results and findings of your PIC's overall evaluation.

A PIC Evaluation Report should be organized into the following major sections:

1. Introduction - describing:
   - Program/project(s) evaluated
   - Group that conducted the evaluation
   - Evaluation approach
   - Any legislation that created the program/ mandated evaluation
2. Objectives - stating:
   - Objectives of the evaluation
   - Questions to be answered through evaluation
3. Methodology - presenting:
   - Overall evaluation research design
   - Process for the administration of the evaluation
   - Data collection instruments
   - Analytic techniques
   - Data analysis results.
4. Findings - providing:
   - Answers to the evaluation questions
   - Information on the strengths/weaknesses of the project or program
5. Recommendations/Conclusions - presenting:
   - Major conclusions
   - Recommendations, if required
   - Limitations imposed upon the evaluation
6. Executive Summary - distilling the activities and findings described in the body of the evaluation.

# V. PME RECORDS

This section has been set aside so that you can house documents which relate to your PIC's planning, management, and evaluation process or system in one place. We recommend, at a minimum, that you keep copies of the following items here:

- Written description of your PIC's PME Process and Procedures
- PME Roles and Responsibilities of Staff and Members
- Aids that you create to implement the PME Process
- Your PIC's Strategic Plan
- Appropriate sections of your PIC's Program Operations Plan, Management Plan, and Evaluation Plan

Locating all of the foregoing items here will ensure easy access and should facilitate their use and interrelationship.

Most importantly, we encourage you to refer to this section of the Guide regularly as you implement your PIC's PME Process. Update it as you have to change goals, priorities, plans, responsibilities, or operating procedures. Also, record any of your own observations and comments regarding your PME Process and keep them here. Using the Guide in this way will ensure that it serves as an integral part of your PME Process and a basic tool for enhancing your PIC's PME effectiveness.

# GLOSSARY

This Glossary consists of two parts. Part One is a reiteration of the PME key concepts defined within the text of Section III of the Guide. Part Two defines some of the more common terms related to the employment and training field.

# GLOSSARY

## PART ONE: PME KEY CONCEPTS

(All concepts are located in Chapter III)

| Key Concepts | Definition |
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| Advisor Role: | reviewer and consultant to CETA Prime Sponsor. |
| Baseline Data Worksheets: | forms designed to permit uniform and easy analysis of data gathered routinely through PIC's management reporting system. |
| Blockages/Barriers: | obstacles or reasons for less than successful performance in an area. |
| Broker Role: | facilitator for connections between and among CETA program and others. |
| Cause and Effect Analysis: | study of a number of variables to demonstrate a causal relationship between two or more factors. |
| Comparative Analysis: | study of the relative performance of two or more components, or projects over time. |
| Components: | major specific activities, including training and other participant programs and employment generating services. |
| Component Level Monitoring: | review of major facet, (e.g. classroom training, linkage projects) of PIC operations. |
| Control Group: | group which does not participate in PIC program with characteristics similar to persons in program used as mechanism for contrasting impact of program participation. |
| Control Limits: | range within which variance from planned level of performance is tolerable. |

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| Corrective Action Plan: | report which proposes method for eliminating performance problems. |
| Corrective Monitoring: | follow-up analysis to determine why performance varied significantly from planned level and to identify possible remedial actions to correct situation. |
| Corrective Monitoring System: | special procedures and methods to provide feedback on the status of the implementation of a corrective action plan. |
| Cost Benefit Analysis: | study of various measures of program outcome related to cost in order to assess benefits. |
| Deficiencies or Significiant Variations: | areas in which performance falls significantly below that planned. |
| EGS- Related Objective: | answers the question of "how well" in terms of time, quantitative measure, qualitative value, and cost efficient/ effectiveness/effort value. |
| Employment Generating Needs: | local needs related to developing activities or services to create jobs or to otherwise improve employment opportunities for CETA eligible participants. |
| Employment Generating Tactics: | labor market analysis; marketing; economic and community development, incentive programs (e.g., TJTC); and linkage creation. |
| Employer Surveys: | local surveys which a PIC can initiate in order to obtain additional information regarding the characteristics of the labor market and the needs of employers. |
| Evaluation Research Design: | detailed plan for implementing evaluation. |
| Evaluation Responsibilities: | roles and duties for all individuals to be involved in the conduct of the evaluation. |

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| Evaluation Review Process: | basic method and procedures to be adhered to in assessing PIC performance. |
| Goal: | broad, unquantified statement of an outcome or result which PIC wants to achieve. |
| Hypothesis: | proposition that is consistent with known facts, and therefore presumed as possibly true, but which requires further investigation for verification. |
| Impact Evaluation: | measurements to determine the extent to which the program has brought about participant change, institutional change, or otherwise had an effect upon the community in which your PIC operates. |
| Interview Guide: | format which provides a logically sequenced and comprehensive list of questions regarding a certain area of PIC performance to be asked in a personal interview. |
| Interim Indicators: | measures used to assess the ongoing performance of PIC's projects, components and program. |
| Management Assessment Reports: | quarterly narrative reports prepared for purposes of Council decision-making describing PIC program performance in major areas of concern. |
| Management by Exception: | approach to monitoring which states that corrective monitoring should be restricted to exceptional deviations in performance. |
| Management by Information and Monitoring Needs: | minimum amount of data needed to review PIC programmatic effectiveness and to exercise control over program. |
| Management Reporting Display Formats: | charts for summarizing monitoring data to permit easy analysis and review. |

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| Management Review Responsibilities: | roles and tasks to be performed by PIC staff and members in overseeing and coordinating program operation plan. |
| Master Plan: | long term agreement between DOL and prime sponsor. Describes PS administrative and programmatic arrangements of PS. Contains demographic characteristics which a PIC can review to assess population groups and their service needs. |
| Monthly Reports: | basic monitoring data increments to be submitted by all PIC projects. |
| Objective: | a quantifiable, or in some way measurable, expression of what is to occur specifically as a result of a program tactic. |
| Occupational Training Priorities: | local growth occupations selected as those for which PIC should develop training programs. |
| Operational Control Process: | method for assessing, directing, and correcting PIC program operation on an ongoing basis. |
| Operational Issues: | Council by-laws; meeting procedures; and processes for determining roles and responsibilities of members and staff, and selecting officers and assigning their duties. |
| Operator Role: | designer and provider of direct services either to participants, employers or other agencies. |
| Organizational Status Issues: | fundamental arrangements (e.g. position within prime sponsor, incorporation, part of existing local business organization) for PIC's operation. |
| Outcome Evaluation: | assessment of actual performance vs. plan for fiscal year. |
| Participant Related Objective: | answers the questions of who, how many, what means, and primary results expected. |

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| Participant Related Tactics: | classroom training --vocational, classroom training, employability; on-the-job training; upgrading, retraining, employment and training services, and supportive services. |
| Participant Service Needs: | training and development assistance needs of the individuals in those groups which have been selected as targets for PIC's programs. |
| Performance Indicators: | measurable factors (e.g. entered employment rate, number of jobs retrained for CETA eligible participants as a result of industrial revenue bonds) indicating effectiveness within a given area on which it is important to set objectives and standards. |
| Performance Standards: | statements of measurable results to be acheived and used to ascertain success or effectiveness. |
| PIC Administrative Structure: | arrangements for coordinating and managing PIC's projects. |
| PIC Delivery System: | overall framework for providing PIC training and development (participants) and employment generating projects. |
| PIC Mission and Functions: | basic purpose, roles and responsibilities to be accomplished by PIC. |
| PIC Operations: | manner in which a PIC functions both internally and in relation to significant others (e.g. prime sponsor and community). |
| PIC Organization: | structural arrangments and division of roles and responsibilities among PIC members and staff. |
| PIC Priority Development Need Areas: | key organizational and operational areas in which a PIC needs to improve its performance. |
| PIC Procedures and Methods: | basic administrative processes and guidelines for managing and directing PIC's efforts. |

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| PIC Program Operation Plan: | written statement which documents PIC's performance standard, administrative structure and organization, operating procedures, delivery system, work plans for each project to be undertaken, management plan and procedures; evaluation plan & procedures, & budget allocation, accounting procedures. |
| PIC Purpose: | statement of ultimate intent and results expected in the long term by PIC. |
| PIC Role(s): | primary approach(es) to performing and discharging PIC mission & function. |
| Planned vs. Actual Performance: | measurements of achievement or accomplishments against pre-set objectives and standards contained in annual plan. |
| Preventive Monitoring: | regularly scheduled visits to projects/ contractors to oversee and reveiw interim products and work processes. |
| Prime Sponsor (PS) Annual Plan: | document which Prime Sponsor prepares annually to describe the program for providing activities and services to the eligible population for upcoming fiscal year and to apply for Federal assistance. |
| Prime Sponsor Comprehensive Employment & Training Plan (CETP): | application for financial assistance to DOL. |
| Projects: | discrete serivces and activities to be sponsored through PIC in order to achieve its programmatic objectives. |
| Project Design: | objectives to be accomplished, major activities and services to be provided, action steps to be taken, and basic organization and management plan for delivering the project. |
| Project Level Monitoring: | review of performance of individual contractor or service deliverer. |
| Project Resource Allocation: | estimation of amount to be expended on each project to ensure cost reasibility and compliance with original program plan. |

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| Project Scope: | specific objectives to be accomplished and services or activities which are to comprise each project. |
| Project Workplan: | detailed statements of services/activities to be undertaken, planned inputs and outputs, work to be performed by staff organization charts, work schedule and action steps, administrative procedures, and monitoring arrangements. |
| Proposal Criteria: | objective factors which are employed to review responses to Request for Proposals. |
| Relative Effectiveness Evaluation: | comparative analysis of projects, services delivered or program components undertaken to ascertain the relative merits of each. |
| Reliability: | extent to which evaluation would produce the same or consistent results through repeated tests over time using idential procedures and instruments. |
| Request for Proposal: (RFP) | solicitation used to inform potential service providers (contractors and subgrantees) about the projects which PIC intends to fund. |
| Report Monitoring: | review of planned versus actual performance using reports submitted by projects and contractors. |
| Reporting Requirements: | frequency and nature of formal reports to be submitted to permit effective program management and monitoring. |
| Sample: | a part of a statistical population whose characteristics or opinions are studied to gain information about the whole. |
| Service Deliverers: | any organization or firm the PIC uses to provide services or perform activities. |

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| Service Providers: | government agencies, community based organizations, businesses, and other contractors who furnish or might provide assistance to PIC. |
| Staffing Issues: | arrangements for, level, nature and division of labor among those individuals to provide staff services for PIC. |
| Strategic Decision-Making Process: | method which PIC chooses to employ to select its goals and to develop its strategic plan. |
| Strategic Plan: | summary statement which (1) details all the goals PIC wants to accomplish in the upcoming year expressing their relative importance; and (2) presents longer term term goals and establishes general time parameters for their accomplishments. |
| Structural Issues: | size and composition, membership selection processes, and committee types for PIC. |
| Subparts: | major segments of the Prime Sponsor's Annual Plan. |
| Survey Questionnaire: | instrument designed to collect data, opinions, or attitudes regarding aspects of a PIC's program. |
| Survey Research: | reliable method, employing some form of questionnaire, for generating data pertaining to respondant experience, attitudes, and opinions related to an area of impact of PIC performance. |
| Tactic: | general means or broadly formed approach for achieving a goal or an end. |
| Target Groups: | those significant segments (e.g. youth, blacks, welfare recipients, displaced homemakers) of the local population who are selected as the foci for PIC's programming efforts. |

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| Terminal Indicators: | measures used to assess the end results or outcomes of a project, component, or program. |
| Trend Analysis: | study of performance over time to see if it is increasing, decreasing, or staying the same. |
| Validity: | extent to which evaluation actually measures what it is intended to measure taking all important factors into account. |
| Warning Light: | indicator that project has exceeded control limit for a given area of performance. |

# GLOSSARY

## PART TWO: Employment and Training Terms

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| A-95 Review Process: | federally mandated process where applications for federal funds are reviewed by statewide clearinghouses so local governments can assess the interrelationships and foster cooperation. The name A-95 derives from its source as OMB Circular A-95 |
| AA: | Affirmative Action |
| AAP: | Affirmative Action Plan |
| ABE: | Adult Basic Education |
| Adult Basic Education (ABE): | CETA classroom training program which teaches basic skills to adults |
| Adult Work Experience (AWE): | CETA program activity for adults designed to provide a familiarization period for those new to or re-entering the labor market. Activities included part-time work and exposure to work habits and career possibilities |
| Affirmative Action (AA) | the active effort to eliminate barriers to employment opportunities for minority and female workers; required by law in all federally funded projects |
| Affirmative Action Plan (AAP): | formal statement of an organization's approach to reach its Affirmative Action goals |
| Applicant pool: | pool, or group, of potential applicants |
| Appropriation: | specific amount of money disignated by Congress for a specific program. Allocations cannot be made without a Congressional appropriation |
| Area of Substantial Unemployment: | a specific geographical area with an unemployment rate in excess of 6.5%. This classification is sometimes used to determine area eligibility for public service employment programs |

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| Assessment: | formal estimation of CETA client's skills and training needs |
| Autonomy: | the quality of state of self-governance, self control, self containment, independence from the whole |
| AWE: | adult work experience |
| Balance of State(BOS): | the area outside the boundaries of the CETA prime sponsors in a given state and generally composed of smaller, rural counties under the administration of the prime sponsor which allocates CETA monies to projects in those areas |
| Balanced Placement Formula: (BPF) | formula used to provide funds to the United States Employment Service |
| BAT: | Bureau of Apprenticeship and Training |
| BIS: | Budget Information Summary |
| Block Grant: | a grant of federal funds to a local government to be used, within limits, as the local government decides |
| BLS: | Bureau of Labor Statistics |
| BOS: | Balance of State |
| Budget Information Summary: | a CETA report which shares the prime sponsor's or PIC's planned expenditures by program activity and cost category; the BIS is part of the annual plan |
| Bureau of Labor Statistics: (BIS) | a division of the U.S. Department of Labor which publishes socio-economic data including manpower and cost of living statistics |
| CBO: | community based organization |
| CETA: | Comprehensive Employment and Training Act |

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| CETA Planning Council: | appointed by the Chief Elected Official to advise in overall planning of the employment and training programs under all titles of CETA |
| CETA Planning Cycle: | the time period in which plans for CETA programs proposed for the next fiscal year (October 1 - September 30) are developed and submitted to the Secretary, Department of Labor for approval. Key dates are: May 15 - June 1, planning estimates and revisions to regulations issued; July 1, preliminary plan submitted to Department of Labor, Regional Office and community review begins August 14, review and comment period ends and plan is revised; September 1, final plan submitted |
| CETA Prime Sponsor (PS): | a state, county, local government or consortium unit acting as administrator of the Comprehensive Employment and Training Act funded programs in the designated area |
| Chief Elected Official: (CEO) | highest elected official of a given governmental entity. Usually the mayor of a municipality, the governor of a state, or the county executive of a county. The Chief Elected Official of each CETA jurisdication is legally responsible for the program in that area |
| Classroom Training: (CT or CRT): | a CETA program activity in which training is conducted in an institutional setting to provide the technical skills and information required to perform a specific job or to upgrade basic skills |
| Client: | a person enrolled in the CETA program |
| Client Characteristics: | demographic characteristics of a client. As part of the grant application to the Department of Labor, each prime sponsor selects a series of characteristics that define and describe the profile of clients the prime sponsor will serve |

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| Client Community: | the group of people to be served by a program activity: those in need of services |
| Community Based Organization: (CBO) | a private non-profit organization which is representative of the community, or a significant element of the community; may provide employment & training services or activities |
| Comprehensive Employment and Training Act (CETA): | an act by Congress "to provide job training and employment opportunities for economically disadvantaged, unemployed or underemployed persons which will result in an increase in their earned income, and to assure that training and other services lead to maximum employment opportunities and enhance self sufficiency" |
| Comprehensive Employment and Training Plan: | a master and annual plan describing the administration and programs under CETA which is developed by the prime sponsor with the participation of the CETA Planning Council and submitted to the Secretary, Department of Labor for approval |
| Contractor: | for CETA purposes, any person, corporation or organization which enters into a contract with the Department of Labor, a prime sponsor or a PIC to provide services |
| Corrective Action: | action necessary to correct identified deficiencies |
| Counseling: | for CETA purposes, career and personal consultation for CETA clients with professional CETA counselors |
| CRT: | classroom training |
| CT: | classroom training |
| Current Population Survey: | a monthly household survey of a sample (sixty thousand) of the civilian non-institutional population of the United States, conducted by the Census Bureau. The survey provides monthly statistics on employment, unemployment, and related subjects analyzed by BLS |

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| Data Base: | the pool of information collected and retained by a computerized or manual information system |
| Decentralization: | the delegation of greater authority and responsibility for the operation and planning of programs to units of state and local government. CETA is a decentralized system |
| Delivery System: | the coordinated system of providing services to a client community, including planning, administration, service provision, etc. |
| Department of Housing and Urban Development (HUD): | federal agency responsible for addressing the housing and urban problems; administers the Community Development Block Grant and other programs |
| Department of Labor: (DOL) | federal agency responsible for administering the CETA program through its Employment and Training Administration (ETA). ETA receives the Congressional appropriations, allocates funds to prime sponsors across the nation, issues regulations based on the Act and monitors the prime sponsors for compliance. DOL also administers a variety of other programs, including the U.S. Employment Service |
| Dictionary of Occupational Titles (DOT/DOT Code): | the classification of occupations through the use of a six-digit numerical code, with specific job descriptions |
| Direct Placement: | the placement of a CETA client by a CETA prime sponsor, PIC or contractor directly into unsubsidized employment without having provided the client with a program activity |
| Disadvantaged: | a person or persons who possess age, racial, educational, physical, or mental characterisitcs which set them apart from the competitive market. These characteristics are usually combined with income guidelines and current labor market status indicators in definitions designed for administrati and planning purposes |

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| Discouraged Workers: | persons without work who make no overt attempt to find a job because they feel no work is available to them. Often referred to as the "hidden unemployed", they are not included in the unemployment estimates. The withdrawal of these persons from the labor market during periods of high unemployment results in an underestimation of the severity of unemployment |
| DOL: | Department of Labor |
| DOT/DOT Code: | Dictionary of Occupational Titles |
| Dropout: | person who leaves school or a training program before completing a specified program |
| Economic Development: | the development of an area's economic health, through such activities as assessing the economic climate and using government programs to encourage business expansion and foster government cooperation with private industry |
| Economic Development Act: (EDA) | federal law setting up the Economic Development Administration in the Department of Commerce and establishing programs to encourage economic development by funding seed projects, public works, etc. |
| Economically Disadvantaged: | an individual who is a member of a family: (1) which receives cash welfare payments; or (2) whose annual income in relation to family size does not exceed the poverty level guidelines issued by the federal Office of Management and Budget |
| EDA: | Economic Development Act or Economic Development Administration |
| EEO: | equal employment opportunity |
| Eligibility: | criteria used to enroll people into a program such as CETA |

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| Eligible: | qualified for (meets the criteria for) a program such as CETA |
| Employability: | qualities which enhance an individual's ability to be employed, such as skills, education and experience |
| Employability Development: | the effort to provide training and other services to people in order to enhance their employability or their marketable skills and apititudes |
| Employment and Training Administration (ETA): | a division of the U. S. Department of Labor, that is the administering agency for CETA programs on a nationwide basis operating through 10 regional offices |
| Employment Security Automated Reporting System (ESARS): | series of reports produced by the State Employment Security Agencies which give labor market information and breakdown of characteristics of people being served by the Employment Service |
| English as a Second Language: (ESL) | a CETA program activity which provides classroom training to teach CETA clients with a native language other than English an ability to use the English language |
| Equal Employment Opportunity: (EEO) | the provision of equal opportunities for employment without regard to race, creed, color, handicap, national origin, sex, age, political affiliation or beliefs |
| ESARS | Employment Security Automated Reporting System |
| ESL | English as a second language |
| ETA | Employment and Training Administration |
| External Labor Market: | that market lying outside the particular firm or craft. It is relatively free of administrative rules governing the pricing and allocation of labor/ports of entry |

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| Federal Representative Fed Rep (FR): | individual from a regional U. S. Department of Labor office assigned responsibility for employment and training programs within a defined geographic area |
| Fed Rep: | Federal Representative |
| Federal Assistance Program: | a term used to refer to the variety of federal programs available to state and local governemnts including counties, cities, metropolitan and regional governments; schools, colleges, and universities; health institutions, non-profit and for profit organizations; and to individuals and families. Current federal assistance programs are listed in the annual Catalogue of Federal Domestic Assistance. Federal assistance programs provide assistance through grant or contractual arrangements and include technical assistance programs or programs providing assistance in the forms of loans. CETA is one of these programs |
| Federal Management Circular: (FMC) | a directive issued by the federal General Services Administration |
| Federal Register: (FR) | publication which carries the text of federal regulations as they are issued by federal agencies. Often draft regulations appear for comment and review, then final or "implementing regulations" appear |
| Federal Regulations: | operating procedures for federal programs based on federal legislation issued by the appropriate federal agency. Agencies receiving federal grants are required to comply with the appropriate regulations |
| Field Memorandum (FM): | national directive issued by U.S. Department of Labor |

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| Fiscal Year (FY): | year for financial reporting purposes (not the calendar year). The federal government and all CETA funded programs operate on October 1 through September 30 fiscal year |
| FM: | Field Memorandum |
| FMC: | Federal Management Circular |
| Follow-up: | contacts made by representative of a service delivery agency with former clients to determine additional services needed by the client or to collect information on the client's current status for evaluative purposes |
| FY: | Fiscal Year |
| General Educational Development (GED): | qualifying test for high school diploma equivalent |
| Hands-on-Experience: | work experience where one uses actual equipment normally used on the job; also may mean close simulation of tasks as a training method |
| Indirect Placement: | the placement of a CETA client by a CETA prime sponsor, PIC or contractor into unsubsidized employment after the client has been provided a program activity or supportive service |
| Intake: | the process of bringing clients into the CETA system |
| Internal Labor Market: | that labor market within a particular industry, firm or plant in which the pricing and allocation of labor are governed by administrative rules and procedures |
| Job Development: | the process of developing or finding jobs for CETA clients |
| Job Placement: | the process of placing CETA clients in jobs |

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| Job Related Education (JRE): | refers to the education necessary to enable a worker to assimilate OJT. JRE may include basic remedial education in mathematics and language skills needed to perform job duties. Technical information may be included. |
| JRE: | job related education |
| Labor Market: | for purposes of state or local manpower planning, the geographical area within which most workers are secured; the geographical area over which a worker can roam in search of a job, within reasonable commuting distance of his place or residence |
| Labor Market Area (LMA): | definable area in which there is considerable economic integration and within which workers can and do readily change jobs without changing their places of residence usually a central city or cities and the surrounding commuting area |
| LMA: | labor market area |
| LMI: | labor market information |
| Low Income: | income in relation to family size, determined by BLS for farm and non-farm families |
| Lower Living Standard Income Level: | income level in relation to family size, determined by the BLS for farm and non-farm families |
| Maintenance of Effort: | a requirement under CETA that CETA funds not be used to displace currently employed workers or to replace existing services funded from non-CETA sources |
| Manpower: | activities designed to place people in jobs or to improve their employability and the job opportunities available to them. The terms "Employment and Training" have generally replaced the term "Manpower" |

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| NAB | National Alliance of Business |
| National Alliance of Business | a business-led, non-profit corporation working in partnership with business, labor, government, education and community groups to reduce unemployment problems of economically disadvantaged youths and adults |
| OEDP | Overall Economic Development Plan |
| Overall Economic Development Plan | plan required by the federal Economic Development Administration in order for municipalities to receive funding for public works projects and other grants from EDA |
| OJT | on-the-job training |
| On-the-Job Training | CETA program activity in which a participant is actively employed, at a normal wage, by a subsidized contractor and is trained at the work site to perform certain jobs. The employer contracts with CETA to train the participant and CETA reimburses the employer for the training costs |
| Participant | an individual who is enrolled into CETA and is receiving services or taking part in program activities |
| PIC (PSIP) Annual Plan | the Title VII subpart to the CETA prime sponsor's Comprehensive Employment and Training Plan which must have concurrence of both the PIC chairperson and Chief Elected Official of the CETA prime sponsor in order to be approved by the Department of Labor (20 CFR 679.5) |
| PPS | Program Planning Summary |

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| Program Planning Summary | a CETA report which shows the prime sponsor's planned enrollments by program activities; the PPS is part of the annual plan |
| Program Status Summary | a CETA report which shows the prime sponsor's actual enrollments by program activities, compared to its planned enrollments (as shown on the Program Planning Summary) |
| PS | prime sponsor |
| PSE | public service employment |
| PSS | program status summary |
| Public/Private Partnership | a formal or informal agreement between two sectors to define and resolve community problems for their mutual benefit |
| Public Service Employment | CETA program activity which funds subsidized employment for CETA participants to work with public employers (government) and private non-profit employers by providing public services (Titles II-D and IV) |
| RA | Regional Administrator |
| Regional Administrator | the chief regional administrative officer of the U.S. Department of Labor. There is on Regional Administrator per federal region |
| Regs | see Federal Regulations |
| Regulations | see Federal Regulations |
| Request for Proposal | formal process of soliciting proposals for a project, program or contract |
| RFP | request for proposal |
| SESA | State Employment Security Agency |
| SIC | Standard Industrial Classification Code |

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| Significant Segments | those groups of people characterized by racial, ethnic, sex, age, occupational or veteran status, which causes them to experience unusual difficulty in obtaining employment and therefore are most in need of services. DOL or the prime sponsor may designate a significant segment as a target group to receive priority |
| SMSA | Standard Metropolitan Statistical Area |
| Standard Industrial Classification Code (SIC) | a system for the classification and description of employers by type of industrial activity in which they are engaged. The SIC is published by the federal Office of Management and Budget and regularly updated |
| Standard Metropolitan Statistical Area (SMSA) | a widely used concept, developed jointly by the federal Departments of Labor, Commerce and Health and Human Services for defining labor market areas for the purpose of compiling statistics. SMSAs are definable areas in which there is considerable economic integration and within which workers can and do readily change jobs without changing their places of residence. The Bureau of Labor Statistics (BLS) establishes lower living standard income levels by SMSAs |
| State Employment Security Agency (SESA) | a state administered agency funded through the Department of Labor which offers job service, placement and counseling, provides labor market information, and administers Unemployment Insurance; coordinates other programs such as Job Corp, Work Incentive Training (WIN) and apprenticeship training programs |
| Supportive Services | services provided to participants which are not manpower-related but which are necessary to enable individuals to participate, including health care and medical services, child care, transportation, residential assistance, assistance in |

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| | securing bonds, legal services and family planning services (provided such services are made available to a participant only on a voluntary basis and are not a prerequisite for participation in or receipt of any services or benefit from the program) |
| TA | technical assistance |
| Targeted Jobs Demonstration Program (TJDP) | grants from DOL made on a selective basis to units of local government to promote employment opportunities for the economically disadvantaged through funding of economic and community development projects |
| Targeted Jobs Tax Credit (TJTC) | an elective tax credit that applies to wage costs of eligible employees between January 1, 1979 and December 31, 1981, and is equal to 50% of the first year wages up to $3,000 and 25% of second year wages up to $1,500. Youth, ex-offenders and the economically disadvantaged are eligible, in addition to other groups as determined by the State Employment Service |
| Target Groups | population groups identified as having special barriers to employment and therefore given priority to receive services. See Significant Segments |
| Technical Assistance | a term used to refer to the programs, activities, and services provided by the federal government, a public interest group, or another third party to strengthen the capacity of program operators (PICs, prime sponsors, contractors, etc.) to improve their performance. The delivery of technical assistance requires serving one or more of three functions: (1) transferring information; (2) developing skills; and (3) transferring products. The tools of TA include counseling, training, giving expert information, providing equipment, goods or services including advisory. Technical assistance may be provided onsite or in a training session |

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| TJDP | Targeted Jobs Demonstration Program |
| TJTC | Targeted Jobs Tax Credit |
| UI | unemployment insurance |
| Underemployed | persons working full or part-time with inadequate incomes. This includes those working part-time because full-time work is unavailable, those working full time with earnings that do not raise family income above the poverty or near-poverty level, and those whose abilities would qualify them for higher jobs when such are available |
| Unemployed | a person who is without a job and wants and is available for work |
| Unemployment Insurance (UI) | a program of cash benefits available to insured unemployed workers through the State Employment Security Agencies |
| Unemployment Rate | the number of people unemployed, expressed as a percentage of the civilian labor force |
| Unsubsidized Employment | jobs which are not subsidized by government manpower funding |
| Vocational Education | training is specific skilled fields, usually through an accredited vocational educational institution, such as vocational high school |
| WE | work experience |
| Work Experience | a CETA program activity designed to provide a familiarization period for those new to or re-entering the labor market. Activities include part-time work, and exposure to work habits and career possibilities |
| Work Force | total number of persons employed, based on establishment data rather than census data. Because these statistics are derived from surveys of employment establishments, they differ from labor force statistics |

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| | that are based on household data. The difference between work force and labor force statistics is particularly significant when data are being compared for places where workers commute between areas |
| Youth Work Experience | a CETA program activity for youth designed to provide a familiarization period for those new to the labor market. Activities include part-time work and exposure to work habits and career possibilities |
| YWE | youth work experience |

# APPENDIX

This Appendix presents a selected bibliography of references which you might refer to help you in implementing your PIC's PME process. It lists all of the primary references cited in Section III of the Guide.

# APPENDIX

## REFERENCES

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